



**STATE OF TENNESSEE  
DEPARTMENT OF STATE  
TENNESSEE STATE LIBRARY AND ARCHIVES**

**REQUEST FOR PROPOSALS  
FOR**

**ACCESS TO FULL TEXT MULTIDISCIPLINARY  
PERIODICAL DATABASES  
FOR THE  
TENNESSEE ELECTRONIC LIBRARY**

**RFP # 30504-01612**

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## 1. INTRODUCTION

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The State of Tennessee, Department of State, Tennessee State Library and Archives, hereinafter referred to as "the State," has issued this Request for Proposals (RFP) to define minimum service requirements; solicit proposals; detail proposal requirements; and, outline the State's process for evaluating proposals and selecting a contractor to provide the needed service.

Through this RFP, the State seeks to buy the best services at the most favorable, competitive prices and to give ALL qualified businesses, including those that are owned by minorities, women, persons with a handicap or disability, and small business enterprises, opportunity to do business with the state as contractors and sub-contractors.

### 1.1. Statement of Procurement Purpose

The State intends to secure a contract for full text multidisciplinary periodical database product indexing and including full text which may also include books, web content, media and content in other formats, which provides broad coverage of general interest and academic disciplines including the humanities, social sciences, sciences, business, computers, technology, and health, and homework and study aids for the K-12 community.

### 1.2. Scope of Service, Contract Period, & Required Terms and Conditions

The RFP Attachment 6.6., *Pro Forma* Contract details the State's required:

- Scope of Services and Deliverables (Section A);
- Contract Period (Section B);
- Payment Terms (Section C);
- Standard Terms and Conditions (Section D); and,
- Special Terms and Conditions (Section E).

The *pro forma* contract substantially represents the contract document that the successful Proposer must sign.

### 1.3. Nondiscrimination

No person shall be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of a Contract pursuant to this RFP or in the employment practices of the Contractor on the grounds of handicap or disability, age, race, color, religion, sex, national origin, or any other classification protected by federal, Tennessee state constitutional, or statutory law. The Contractor pursuant to this RFP shall, upon request, show proof of such nondiscrimination and shall post in conspicuous places, available to all employees and applicants, notices of nondiscrimination.

### 1.4. RFP Communications

- 1.4.1. The State has assigned the following RFP identification number that must be referenced in all communications regarding this RFP:

**RFP # 30504-01612**

- 1.4.2. **Unauthorized contact about this RFP with employees or officials of the State of Tennessee except as detailed below may result in disqualification from consideration under this procurement process.**

1.4.2.1. Potential proposers must direct communications relating to this RFP to the following person designated as the RFP Coordinator.

Jennifer Cowan-Henderson, Bibliographic Services Coordinator

Tennessee State Library and Archives  
403 Seventh Avenue North  
Nashville, TN 37243  
Phone: 615-532-4629  
Fax: 615-532-9904  
Jennifer.Cowan-Henderson@tn.gov

1.4.2.2. Notwithstanding the foregoing, potential proposers may contact:

- a. staff of the Governor's Office of Diversity Business Enterprise for assistance available to minority-owned, women-owned, and small businesses as well as general, public information relating to this RFP; and
- b. the following individual designated by the State to coordinate compliance with the nondiscrimination requirements of the State of Tennessee, Title VI of the Civil Rights Act of 1964, the Americans with Disabilities Act of 1990, and associated federal regulations:

Maggie Bahou  
Tennessee Department of State  
Human Resources Director  
312 Rosa L. Parks Avenue  
7th Floor, Snodgrass Tower  
Nashville, TN 37243  
Phone: 615-253-4548  
Fax: 615-253-5536  
maggie.bahou@tn.gov

- 1.4.3. Only the State's official, written responses and communications will be binding with regard to this RFP. The State will consider oral communications of any type to be unofficial and non-binding.
- 1.4.4. Potential proposers must ensure that the State receives all written comments, including questions and requests for clarification, no later than the Written Comments Deadline detailed in the RFP Section 2, Schedule of Events.
- 1.4.5. Proposers must assume the risk of the method of dispatching any communication or proposal to the State. The State assumes no responsibility for delays or delivery failures resulting from the method of dispatch. Actual or digital "postmarking" of a communication or proposal to the State by a specified deadline date will not substitute for the State's actual receipt of a communication or proposal.
- 1.4.6. The State will convey all official responses and communications related to this RFP to the potential proposers from whom the State has received a Notice of Intent to Propose (refer to RFP Section 1.7).
- 1.4.7. The State reserves the right to determine, at its sole discretion, the method of conveying official, written responses and communications related to this RFP. Such written communications may be transmitted by mail, hand-delivery, facsimile, electronic mail, Internet posting, or any other means deemed reasonable by the State.
- 1.4.8. The State reserves the right to determine, at its sole discretion, the appropriate and adequate responses to written comments, questions, and requests related to this RFP. The State's official, written responses will constitute an amendment of this RFP.
- 1.4.9. Any data or factual information provided by the State (in this RFP, an RFP amendment or any other communication relating to this RFP) is for informational purposes only. The State will make

reasonable efforts to ensure the accuracy of such data or information, however it is within the discretion of Proposers to independently verify any information before relying thereon.

**1.5. Assistance to Proposers With a Handicap or Disability**

Potential proposers with a handicap or disability may receive accommodation relating to the communication of this RFP and participating in the RFP process. Potential proposers may contact the RFP Coordinator to request such reasonable accommodation no later than the Disability Accommodation Request Deadline detailed in the RFP Section 2, Schedule of Events.

**1.6. Proposer Required Review & Waiver of Objections**

- 1.6.1. Each potential proposer must carefully review this RFP, including but not limited to, attachments, the RFP Attachment 6.6., *Pro Forma* Contract, and any amendments, for questions, comments, defects, objections, or any other matter requiring clarification or correction (collectively called "questions and comments").
- 1.6.2. Any potential proposer having questions and comments concerning this RFP must provide such in writing to the State no later than the Written Comments Deadline detailed in the RFP Section 2, Schedule of Events.
- 1.6.3. Protests based on any objection shall be considered waived and invalid if the objection has not been brought to the attention of the State, in writing, by the Written Comments Deadline.

**1.7. Notice of Intent to Propose**

Before the Notice of Intent to Propose Deadline detailed in the RFP Section 2, Schedule of Events, potential proposers should submit to the RFP Coordinator a Notice of Intent to Propose (in the form of a simple e-mail or other written communication). Such notice should include the following information:

- the business or individual's name (as appropriate)
- a contact person's name and title
- the contact person's mailing address, telephone number, facsimile number, and e-mail address

**A Notice of Intent to Propose creates no obligation and is not a prerequisite for making a proposal, however, it is necessary to ensure receipt of any RFP amendments or other notices and communications relating to this RFP.**

**1.8. Proposal Deadline**

A Proposer must ensure that the State receives a proposal no later than the Proposal Deadline time and date detailed in the RFP Section 2, Schedule of Events. A proposal must respond, as required, to this RFP (including its attachments) as may be amended. The State will not accept late proposals, and a Proposer's failure to submit a proposal before the deadline will result in disqualification of the proposal.

## 2. RFP SCHEDULE OF EVENTS

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2.1. The following RFP Schedule of Events represents the State's best estimate for this RFP.

| EVENT   | TIME<br>(central time zone) | DATE<br>(all dates are state business days) |
|---|-----------------------------|---|
| 1. RFP Issued   |                             | April 16, 2012                              |
| 2. Disability Accommodation Request Deadline                                    | 2:00 p.m.                   | April 19, 2012                              |
| 3. Notice of Intent to Propose Deadline   | 2:00 p.m.                   | April 23, 2012                              |
| 4. Written "Questions & Comments" Deadline                                      | 2:00 p.m.                   | April 27, 2012                              |
| 5. State Response to Written "Questions & Comments"                             |                             | May 4, 2012                                 |
| 6. Proposal Deadline  | 2:00 p.m.                   | May 18, 2012                                |
| 7. State Completes Written Technical Proposal Evaluations                       |                             | May 25, 2012                                |
| 8. State Schedules Proposer Oral Presentation                                   |                             | May 29, 2012                                |
| 9. Proposer Oral Presentation   | 8 a.m. - 3:30 p.m.          | June 7, 2012 – June 8, 2012                 |
| 10. State Opening & Scoring of Cost Proposals                                   | 9:00 a.m.                   | June 11, 2012                               |
| 11. State Evaluation Notice Released and RFP Files Opened for Public Inspection | 2:00 p.m.                   | June 13, 2012                               |
| 12. Contract Signing  |                             | June 25, 2012                               |
| 13. Contractor Contract Signature Deadline                                      | 2:00 p.m.                   | June 28, 2012                               |

2.2. **The State reserves the right, at its sole discretion, to adjust the RFP Schedule of Events as it deems necessary.** Any adjustment of the Schedule of Events shall constitute an RFP amendment, and the State will communicate such to potential proposers from whom the State has received a Notice of Intent to Propose (refer to section 1.7.).

### 3. PROPOSAL REQUIREMENTS

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#### 3.1. Proposal Form

A response to this RFP must consist of two parts, a Technical Proposal and a Cost Proposal.

- 3.1.1. **Technical Proposal.** The RFP Attachment 6.2., Technical Proposal & Evaluation Guide details specific requirements for making a Technical Proposal in response to this RFP. The guide includes mandatory requirement items, general qualifications and experience items, and technical qualifications, experience, and approach items all of which must be addressed with a written response and, in some instances, additional documentation.

**NOTICE: A technical proposal must not include any pricing or cost information. If any pricing or cost information amounts of any type (even pricing relating to other projects) is included in any part of the technical proposal, the state will deem the proposal to be non-responsive and reject it.**

- 3.1.1.1. A Proposer must use the RFP Attachment 6.2., Technical Proposal & Evaluation Guide to organize, reference, and draft the Technical Proposal by duplicating the attachment, adding appropriate proposal page numbers as required, and using the guide as a table of contents covering the Technical Proposal.
- 3.1.1.2. A proposal should be economically prepared, with emphasis on completeness and clarity. A proposal, as well as any reference material presented, must be written in English and must be written on standard 8 ½" x 11" pages (although oversize exhibits are permissible). All proposal pages must be numbered.
- 3.1.1.3. All information and documentation included in a Technical Proposal should respond to or address a specific requirement detailed in the RFP Attachment 6.2., Technical Proposal & Evaluation Guide. All information must be incorporated into a response to a specific requirement and clearly referenced. Any information not meeting these criteria will be deemed extraneous and will not contribute to evaluations.
- 3.1.1.4. The State may determine a proposal to be non-responsive and reject it if:
- a. the Proposer fails to organize and properly reference the Technical Proposal as required by this RFP and the RFP Attachment 6.2., Technical Proposal & Evaluation Guide; or
  - b. the Technical Proposal document does not appropriately respond to, address, or meet all of the requirements and proposal items detailed in the RFP Attachment 6.2., Technical Proposal & Evaluation Guide.
- 3.1.2. **Cost Proposal.** A Cost Proposal must be recorded on an exact duplicate of the RFP Attachment 6.3., Cost Proposal & Scoring Guide.

**NOTICE: If a proposer fails to submit a cost proposal exactly as required, the state will deem the proposal to be non-responsive and reject it.**

- 3.1.2.1. A Proposer must only record the proposed cost exactly as required by the RFP Attachment 6.3., Cost Proposal & Scoring Guide and must NOT record any other rates, amounts, or information.

- 3.1.2.2. The proposed cost shall incorporate ALL costs for services under the contract for the total contract period.
- 3.1.2.3. A Proposer must sign and date the Cost Proposal.
- 3.1.2.4. A Proposer must submit the Cost Proposal to the State in a sealed package separate from the Technical proposal (as detailed in RFP Sections 3.2.3., *et seq.*).

## 3.2. Proposal Delivery

A Proposer must deliver a proposal in response to this RFP as detailed below. The State will not accept a proposal delivered by any other method.

- 3.2.1. A Proposer must ensure that both the original Technical Proposal and Cost Proposal documents meet all form and content requirements detailed within this RFP for such proposals including but not limited to required signatures.
- 3.2.2. A Proposer must submit original Technical Proposal and Cost Proposal documents and copies as specified below.

- 3.2.2.1. One (1) original Technical Proposal paper document labeled:

**“RFP # 30504-01612 TECHNICAL PROPOSAL ORIGINAL”**

and FIVE (5) copies of the Technical Proposal each in the form of one (1) digital document in “PDF” format properly recorded on its own otherwise blank, standard CD-R recordable disc labeled:

**“RFP # 30504-01612 TECHNICAL PROPOSAL COPY”**

The digital copies should not include copies of sealed customer references, however any other discrepancy between the paper Technical Proposal document and any digital copies may result in the State rejecting the proposal as non-responsive.

- 3.2.2.2. One (1) original Cost Proposal paper document labeled:

**“RFP # 30504-01612 COST PROPOSAL ORIGINAL”**

and one (1) copy in the form of a digital document in “PDF/XLS” format properly recorded on separate, blank, standard CD-R recordable disc labeled:

**“RFP # 30504-01612 COST PROPOSAL COPY”**

In the event of a discrepancy between the original Cost Proposal document and the digital copy, the original, signed document will take precedence.

- 3.2.3. A Proposer must separate, seal, package, and label the documents and discs for delivery as follows.

- 3.2.3.1. The Technical Proposal original document and copy discs must be placed in a sealed package that is clearly labeled:

**“DO NOT OPEN... RFP # 30504-01612 TECHNICAL PROPOSAL FROM  
[PROPOSER LEGAL ENTITY NAME]”**

- 3.2.3.2. The Cost Proposal original document and copy disc must be placed in a separate, sealed package that is clearly labeled:

**“DO NOT OPEN... RFP # 30504-01612 COST PROPOSAL FROM [PROPOSER  
LEGAL ENTITY NAME]”**

- 3.2.3.3. The separately, sealed Technical Proposal and Cost Proposal components may be enclosed in a larger package for mailing or delivery, provided that the outermost package is clearly labeled:

**“RFP # 30504-01612 SEALED TECHNICAL PROPOSAL & SEALED COST  
PROPOSAL FROM [PROPOSER LEGAL ENTITY NAME]”**

- 3.2.4. A Proposer must ensure that the State receives a proposal in response to this RFP no later than the Proposal Deadline time and date detailed in the RFP Section 2, Schedule of Events at the following address.

Jennifer Cowan-Henderson, Bibliographic Services Coordinator  
Tennessee State Library and Archives  
403 Seventh Avenue North  
Nashville, TN 37243

**3.3. Proposal & Proposer Prohibitions**

- 3.3.1. A proposal must not include the Proposer’s own contract terms and conditions. If a proposal contains such terms and conditions, the State, at its sole discretion, may determine the proposal to be a non-responsive counteroffer and reject it.
- 3.3.2. A proposal must not restrict the rights of the State or otherwise qualify either the offer to deliver services as required by this RFP or the Cost Proposal. If a proposal restricts the rights of the State or otherwise qualifies either the offer to deliver services as required by this RFP or the Cost Proposal, the State, at its sole discretion, may determine the proposal to be a non-responsive counteroffer and reject it.
- 3.3.3. A proposal must not propose alternate services (*i.e.*, offer services different from those requested and required by this RFP). The State will consider a proposal of alternate services to be non-responsive and reject it.
- 3.3.4. A Cost Proposal must not result from any collusion between Proposers. The State will reject any Cost Proposal that was not prepared independently without collusion, consultation, communication, or agreement with any other Proposer. Regardless of the time of detection, the State will consider any such actions to be grounds for proposal rejection or contract termination.
- 3.3.5. A Proposer must not provide, for consideration in this RFP process or subsequent contract negotiations, incorrect information that the Proposer knew or should have known was materially incorrect. If the State determines that a Proposer has provided such incorrect information, the State will deem the Proposer’s proposal non-responsive and reject it.
- 3.3.6. A Proposer must not submit more than one Technical Proposal and one Cost Proposal in response to this RFP. If a Proposer submits more than one Technical Proposal or more than one Cost Proposal, the State will deem all of the proposals non-responsive and reject them.
- 3.3.7. A Proposer must not submit a proposal as a prime contractor while also permitting one or more other Proposers to offer the Proposer as a subcontractor in their own proposals. Such may result in the disqualification of all Proposers knowingly involved. This restriction does not, however, prohibit different Proposers from offering the same subcontractor as a part of their proposals (provided that the subcontractor does not also submit a proposal as a prime contractor).



3.3.8. A Proposer must not be (and the State will not award a contract to):

- a. an individual who is, or within the past six months has been, an employee of the State of Tennessee or who is a volunteer member of a State board or commission that votes for, lets out, overlooks, or any manner superintends the services being procured in this RFP;
- b. a company, corporation, or any other contracting entity in which an ownership of two percent (2%) or more is held by an individual who is, or within the past six months has been, an employee of the State of Tennessee (this will not apply either to financial interests that have been placed into a “blind trust” arrangement pursuant to which the employee does not have knowledge of the retention or disposition of such interests or to the ownership of publicly traded stocks or bonds where such ownership constitutes less than 2% of the total outstanding amount of the stocks or bonds of the issuing entity);
- c. a company, corporation, or any other contracting entity which employs an individual who is, or within the past six months has been, an employee of the State of Tennessee in a position that would allow the direct or indirect use or disclosure of information, which was obtained through or in connection with his or her employment and not made available to the general public, for the purpose of furthering the private interest or personal profit of any person; or,
- d. any individual, company, or other entity involved in assisting the State in the development, formulation, or drafting of this RFP or its scope of services (such person or entity being deemed by the State as having information that would afford an unfair advantage over other Proposers).

For the purposes of applying the requirements of this RFP subsection 3.3.8., the State will deem an individual to be an employee of the State of Tennessee until such time as all compensation for salary, termination pay, and annual leave has been paid, but the term “employee of the State of Tennessee” shall not include individuals performing volunteer services for the State of Tennessee.

#### 3.4. **Proposal Errors & Revisions**

A Proposer is liable for any and all proposal errors or omissions. A Proposer will not be allowed to alter or revise proposal documents after the Proposal Deadline time and date detailed in the RFP Section 2, Schedule of Events unless such is formally requested, in writing, by the State.

#### 3.5. **Proposal Withdrawal**

A Proposer may withdraw a submitted proposal at any time before the Proposal Deadline time and date detailed in the RFP Section 2, Schedule of Events by submitting a written request signed by an authorized Proposer representative. After withdrawing a proposal, a Proposer may submit another proposal at any time before the Proposal Deadline.

#### 3.6. **Proposal of Additional Services**

If a proposal offers services in addition to those required by and described in this RFP, the State, at its sole discretion, may add such services to the contract awarded as a result of this RFP. Notwithstanding the foregoing, a Proposer must not propose any additional cost amount(s) or rate(s) for additional services. Regardless of any additional services offered in a proposal, the Proposer’s Cost Proposal must only record the proposed cost as required in this RFP and must not record any other rates, amounts, or information.

**NOTICE: If a Proposer fails to submit a Cost Proposal exactly as required, the State will deem the proposal non-responsive and reject it.**

**3.7. Proposal Preparation Costs**

The State will not pay any costs associated with the preparation, submittal, or presentation of any proposal.

**3.8. Trial Access**

A response to this RFP must include simultaneous full remote access to the proposed services. Access is to start on the Proposal Deadline and to end when the State completes the Written Technical Proposal Evaluation, specified in the RFP Section 2, Schedule of Events. Include any username and password requirements, as well as URL site to use for access.

Trial access and the proposer's written comments will be utilized by the RFP Coordinator, the Project Manager, and the Proposal Evaluation Team to help determine scores for the evaluation items in the "Trial Access" subsection of Section C of the Technical Proposal.

Refer to RFP Section 1.4. for requirements addressing RFP Communication.

#### **4. GENERAL CONTRACTING INFORMATION & REQUIREMENTS**

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##### **4.1. RFP Amendment**

The State reserves the right to amend this RFP at any time, provided that it is amended in writing. However, prior to any such amendment, the State will consider whether it would negatively impact the ability of potential proposers to meet the proposal deadline and revise the RFP Schedule of Events if deemed appropriate. If an RFP amendment is issued, the State will convey it to potential proposers who submitted a Notice of Intent to Propose (refer to RFP Section 1.7). A proposal must respond, as required, to the final RFP (including its attachments) as may be amended.

##### **4.2. RFP Cancellation**

The State reserves the right, at its sole discretion, to cancel or to cancel and reissue this RFP in accordance with applicable laws and regulations.

##### **4.3. State Right of Rejection**

4.3.1. Subject to applicable laws and regulations, the State reserves the right to reject, at its sole discretion, any and all proposals.

4.3.2. The State may deem as non-responsive and reject any proposal that does not comply with all terms, conditions, and performance requirements of this RFP. Notwithstanding the foregoing, the State reserves the right to waive, at its sole discretion, a proposal's minor variances from full compliance with this RFP. If the State waives variances in a proposal, such waiver shall not modify the RFP requirements or excuse the Proposer from full compliance with such, and the State may hold any resulting Contractor to strict compliance with this RFP.

##### **4.4. Assignment & Subcontracting**

4.4.1. The Contractor may not subcontract, transfer, or assign any portion of the Contract awarded as a result of this RFP without prior approval of the State. The State reserves the right to refuse approval, at its sole discretion, of any subcontract, transfer, or assignment.

4.4.2. If a Proposer intends to use subcontractors, the proposal in response to this RFP must specifically identify the scope and portions of the work each subcontractor will perform (refer to RFP Attachment 6.2., Section B, General Qualifications & Experience Item B.14.).

4.4.3. Subcontractors identified within a proposal in response to this RFP will be deemed as approved by the State unless the State expressly disapproves one or more of the proposed subcontractors prior to signing the Contract.

4.4.4. The Contractor resulting from this RFP may only substitute another subcontractor for a proposed subcontractor at the discretion of the State and with the State's prior, written approval.

4.4.5. Notwithstanding any State approval relating to subcontracts, the Contractor resulting from this RFP will be the prime contractor and will be responsible for all work under the Contract.

##### **4.5. Right to Refuse Personnel**

The State reserves the right to refuse, at its sole discretion and notwithstanding any prior approval, any personnel of the prime contractor or a subcontractor providing service in the performance of a contract resulting from this RFP. The State will document in writing the reason(s) for any rejection of personnel.

##### **4.6. Insurance**

At any time, the State may require the Contractor resulting from this RFP to provide a valid, Certificate of

Insurance indicating current insurance coverage meeting minimum requirements as may be specified by this RFP. A failure to provide said documentation will be considered a material breach and grounds for contract termination.

#### **4.7. Licensure**

- 4.7.1. All persons, agencies, firms, or other entities that provide legal or financial opinions, which a Proposer provides for consideration and evaluation by the State as a part of a proposal in response to this RFP, shall be properly licensed to render such opinions.
- 4.7.2. Before the Contract resulting from this RFP is signed, the apparent successful Proposer (and Proposer employees and subcontractors, as applicable) must hold all necessary, appropriate business and professional licenses to provide service as required. The State may require any Proposer to submit evidence of proper licensure.

#### **4.8. Disclosure of Proposal Contents**

- 4.8.1. Each proposal and all materials submitted to the State in response to this RFP become the property of the State of Tennessee. Selection or rejection of a proposal does not affect this right. By submitting a proposal, a Proposer acknowledges and accepts that the full proposal contents and associated documents will become open to public inspection in accordance with the laws of the State of Tennessee.
- 4.8.2. The State will hold all proposal information, including both technical and cost information, in confidence during the evaluation process. Notwithstanding the foregoing, a list of actual Proposers submitting timely proposals may be available to the public, upon request, after technical proposals are opened.
- 4.8.3. Upon completion of proposal evaluations, indicated by public release of an Evaluation Notice, the proposals and associated materials will be open for review by the public in accordance with *Tennessee Code Annotated*, Section 10-7-504(a)(7).

#### **4.9. Contract Approval and Contract Payments**

- 4.9.1. This RFP and its contractor selection processes do not obligate the State and do not create rights, interests, or claims of entitlement in either the Proposer with the apparent best-evaluated proposal or any other Proposer. State obligations pursuant to a contract award shall commence only after the contract is signed by the State agency head and the Contractor and after the Contract is approved by all other state officials as required by applicable laws and regulations.
- 4.9.2. No payment will be obligated or made until the relevant Contract is approved as required by applicable statutes and rules of the State of Tennessee.
  - 4.9.2.1. The State shall not be liable for payment of any type associated with the Contract resulting from this RFP (or any amendment thereof) or responsible for any work done by the Contractor, even work done in good faith and even if the Contractor is orally directed to proceed with the delivery of services, if it occurs before the Contract start date or after the Contract end date.
  - 4.9.2.2. All payments relating to this procurement will be made in accordance with the Payment Terms and Conditions of the Contract resulting from this RFP (refer to RFP Attachment 6.6., *Pro Forma* Contract, Section C).
  - 4.9.2.3. If any provision of the Contract provides direct funding or reimbursement for the competitive purchase of services or items to be delivered to the State as a component of contract performance or otherwise provides for the reimbursement of specified, actual costs, the State will employ all reasonable means and will require all such

documentation that it deems necessary to ensure that such purchases were competitive and costs were reasonable, necessary, and actual. The Contractor shall provide reasonable assistance and access related to such review. Further, the State shall not remit, as funding or reimbursement pursuant to such provisions, any amount(s) which it determines did not result from a reasonably competitive purchase or do not represent reasonable, necessary, and actual costs.

**4.10. Contractor Performance**

The Contractor resulting from this RFP will be responsible for the completion of all service set out in this RFP (including attachments) as may be amended. All service is subject to inspection and evaluation by the State. The State will employ all reasonable means to ensure that service is progressing and being performed in compliance with the Contract, and the Contractor must cooperate with such efforts.

**4.11. Contract Amendment**

During the course of a Contract pursuant to this RFP, the State may request the Contractor to perform additional work within the general scope of the Contract and this RFP, but beyond the specified scope of service, and for which the Contractor may be compensated. In such instances, the State will provide the Contractor a written description of the additional work. The Contractor must respond to the State with a time schedule for accomplishing the additional work and a price for the additional work based on the rates included in the Contractor's proposal to this RFP. If the State and the Contractor reach an agreement regarding the work and associated compensation, such agreement must be effected by means of a Contract Amendment. Further, any such amendment requiring additional work must be signed by both the State agency head and the Contractor and must be approved by other state officials as required by applicable statutes and rules of the State of Tennessee. The Contractor must not commence additional work until the State has issued a written Contract Amendment with all required approvals.

**4.12. Severability**

If any provision of this RFP is declared by a court to be illegal or in conflict with any law, said decision will not affect the validity of the remaining RFP terms and provisions, and the rights and obligations of the State and Proposers will be construed and enforced as if the RFP did not contain the particular provision held to be invalid.

## 5. PROPOSAL EVALUATION & CONTRACT AWARD

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### 5.1. Evaluation Categories & Maximum Points

The State will consider qualifications, experience, technical approach, and cost in the evaluation of proposals and award points in each of the categories detailed below (up to the maximum evaluation points indicated) to each apparently responsive proposal.

| EVALUATION CATEGORY   | MAXIMUM POINTS POSSIBLE |
|---|-------------------------|
| <b>General Qualifications &amp; Experience</b><br>(refer to RFP Attachment 6.2., Section B)             | <b>20</b>               |
| <b>Technical Qualifications, Experience &amp; Approach</b><br>(refer to RFP Attachment 6.2., Section C) | <b>40</b>               |
| <b>Oral Presentation</b><br>(refer to RFP Attachment 6.2., Section D)                                   | <b>10</b>               |
| <b>Cost Proposal</b><br>(refer to RFP Attachment 6.3.)  | <b>30</b>               |

### 5.2. Evaluation Process

The proposal evaluation process is designed to award the contract resulting from this RFP not necessarily to the Proposer offering the lowest cost, but rather to the responsive and responsible Proposer offering the best combination of attributes based upon the evaluation criteria. (“Responsive Proposer” is defined as a Proposer that has submitted a proposal that conforms in all material respects to the RFP. “Responsible Proposer” is defined as a Proposer that has the capacity in all respects to perform fully the contract requirements, and the integrity and reliability which will assure good faith performance.)

5.2.1. **Technical Proposal Evaluation.** The RFP Coordinator and the Proposal Evaluation Team (consisting of three or more State employees) will use the RFP Attachment 6.2., Technical Proposal & Evaluation Guide to manage the Technical Proposal Evaluation and maintain evaluation records.

- 5.2.1.1. The State reserves the right, at its sole discretion, to request Proposer clarification of a Technical Proposal or to conduct clarification discussions with any or all Proposers. Any such clarification or discussion will be limited to specific sections of the proposal identified by the State. The subject Proposer must put any resulting clarification in writing as may be required and in accordance with any deadline imposed by the State.
- 5.2.1.2. The RFP Coordinator will review each Technical Proposal to determine compliance with RFP Attachment 6.2., Technical Proposal & Evaluation Guide, Section A—Mandatory Requirements. If the RFP Coordinator determines that a proposal may have failed to meet one or more of the mandatory requirements, the Proposal Evaluation Team will review the proposal and document the team’s determination of whether:
  - a. the proposal adequately meets requirements for further evaluation;
  - b. the State will request clarifications or corrections for consideration prior to further evaluation; or,
  - c. the State will determine the proposal non-responsive to the RFP and reject it.
- 5.2.1.3. Proposal Evaluation Team members will independently evaluate each Technical Proposal (that appears responsive to the RFP) against the evaluation criteria in this RFP, rather than against other proposals and will score each in accordance with the

RFP Attachment 6.2., Technical Proposal & Evaluation Guide, Section B and Section C.

- 5.2.1.4. For each proposal evaluated, the RFP Coordinator will calculate the average of the Proposal Evaluation Team member scores for RFP Attachment 6.2., Technical Proposal & Evaluation Guide, Section B and for Section C, and record each average as the proposal score for the respective Technical Proposal section.
- 5.2.1.5. The RFP Coordinator will invite each evaluated Proposer to make an oral presentation.
  - 5.2.1.5.1. The RFP Coordinator will randomly schedule Proposer presentations during the period indicated by the RFP Section 2, Schedule of Events. Random scheduling precludes any consideration of Proposer time or date scheduling preferences or related requests. When the Proposer presentation schedule has been determined, the RFP Coordinator will contact Proposers with the relevant information as indicated by the RFP Section 2, Schedule of Events.
  - 5.2.1.5.2. Proposer presentations will be open only to the invited Proposer, Proposal Evaluation Team members, the RFP Coordinator, and any technical consultants that may be selected by the State to provide assistance to the Proposal Evaluation Team.
  - 5.2.1.5.3. Proposer presentations will be limited to addressing the items detailed in RFP Attachment 6.2., Technical Proposal & Evaluation Guide, Section D.
  - 5.2.1.5.4. The State will maintain an accurate record of each Proposer's oral presentation session, and such record shall be available for review when the State opens the procurement files for public inspection.
  - 5.2.1.5.5. Proposal Evaluation Team members will independently evaluate each oral presentation in accordance with the RFP Attachment 6.2., Technical Proposal & Evaluation Guide, Section D.
  - 5.2.1.5.6. The RFP Coordinator will calculate and document the average of the Proposal Evaluation Team member scores for RFP Attachment 6.2., Technical Proposal & Evaluation Guide, Section D, and record that number as the score for said Technical Proposal section.
- 5.2.1.6. Before Cost Proposals are opened, the Proposal Evaluation Team will review the Technical Proposal Evaluation record and any other available information pertinent to whether or not each Proposer is responsive and responsible. If the Proposal Evaluation Team identifies any Proposer that appears not to meet the responsive and responsible thresholds such that the team would not recommend the Proposer for Cost Proposal Evaluation and potential contract award, the team members will fully document the determination.
- 5.2.2. **Cost Proposal Evaluation.** The RFP Coordinator will open for evaluation the Cost Proposal of each apparently responsive and responsible Proposer that the Proposal Evaluation Team has effectively recommended for potential contract award and will calculate and record each Cost Proposal score in accordance with the RFP Attachment 6.3., Cost Proposal & Scoring Guide.
- 5.2.3. **Total Proposal Score.** The RFP Coordinator will calculate the sum of the Technical Proposal section scores and the Cost Proposal score and record the resulting number as the total score for the subject Proposal (refer to RFP Attachment 6.5., Proposal Score Summary Matrix).

### 5.3. Contract Award Process

- 5.3.1 The RFP Coordinator will submit the Proposal Evaluation Team determinations and proposal scores to the head of the contracting agency for consideration along with any other relevant information that might be available and pertinent to contract award.
- 5.3.2 The contracting agency head will determine the apparent best-evaluated proposal. (To effect a contract award to a Proposer other than the one receiving the highest evaluation process score, the head of the contracting agency must provide written justification and obtain the written approval of the Commissioner of Finance and Administration and the Comptroller of the Treasury.)
- 5.3.3 The State reserves the right to make an award without further discussion of any proposal.
- 5.3.4 The State will issue an Evaluation Notice identifying the apparent best-evaluated proposal and make the RFP files available for public inspection at the time and date specified in the RFP Section 2, Schedule of Events.

**NOTICE: The Evaluation Notice shall not create rights, interests, or claims of entitlement in either the Proposer with apparent best-evaluated proposal or any other Proposer.**

- 5.3.5 The Proposer identified as offering the apparent best-evaluated proposal must sign a contract drawn by the State pursuant to this RFP. The contract shall be substantially the same as the RFP Attachment 6.6., *Pro Forma* Contract. The Proposer must sign said contract no later than the Contract Signature by Contractor Deadline detailed in the RFP Section 2, Schedule of Events. If the Proposer fails to provide the signed contract by the deadline, the State may determine that the Proposer is non-responsive to this RFP and reject the proposal.
- 5.3.6 Notwithstanding the foregoing, the State may, at its sole discretion, entertain limited negotiation prior to contract signing and, as a result, revise the *pro forma* contract terms and conditions or performance requirements in the State's best interests, PROVIDED THAT such revision of terms and conditions or performance requirements shall NOT materially affect the basis of proposal evaluations or negatively impact the competitive nature of the RFP and contractor selection process.
- 5.3.7 If the State determines that a proposal is non-responsive and rejects it after opening Cost Proposals, the RFP Coordinator will re-calculate scores for each remaining responsive Cost Proposal to determine (or re-determine) the apparent best-evaluated proposal.



**RFP # 30504-01612 PROPOSAL STATEMENT OF CERTIFICATIONS AND ASSURANCES**

The Proposer must sign and complete the Proposal Statement of Certifications and Assurances below as required, and it must be included in the Technical Proposal (as required by RFP Attachment 6.2., Technical Proposal & Evaluation Guide, Section A, Item A.1.).

**The Proposer does, hereby, expressly affirm, declare, confirm, certify, and assure ALL of the following:**

1. The Proposer will comply with all of the provisions and requirements of the RFP.
2. The Proposer will provide all services as defined in the Scope of Services of the RFP Attachment 6.6., *Pro Forma Contract* for the total contract period.
3. The Proposer accepts and agrees to all terms and conditions set out in the RFP Attachment 6.6., *Pro Forma Contract*.
4. The Proposer acknowledges and agrees that a contract resulting from the RFP shall incorporate, by reference, all proposal responses as a part of the contract.
5. The Proposer will comply with:
  - (a) the laws of the State of Tennessee;
  - (b) Title VI of the federal Civil Rights Act of 1964;
  - (c) Title IX of the federal Education Amendments Act of 1972;
  - (d) the Equal Employment Opportunity Act and the regulations issued there under by the federal government; and,
  - (e) the Americans with Disabilities Act of 1990 and the regulations issued there under by the federal government.
6. To the knowledge of the undersigned, the information detailed within the proposal submitted in response to the RFP is accurate.
7. The proposal submitted in response to the RFP was independently prepared, without collusion, under penalty of perjury.
8. No amount shall be paid directly or indirectly to an employee or official of the State of Tennessee as wages, compensation, or gifts in exchange for acting as an officer, agent, employee, subcontractor, or consultant to the Proposer in connection with the RFP or any resulting contract.
9. Both the Technical Proposal and the Cost Proposal submitted in response to the RFP shall remain valid for at least 120 days subsequent to the date of the Cost Proposal opening and thereafter in accordance with any contract pursuant to the RFP.

**By signing this Proposal Statement of Certifications and Assurances, below, the signatory also certifies legal authority to bind the proposing entity to the provisions of this RFP and any contract awarded pursuant to it. If the signatory is not the Proposer (if an individual) or the Proposer's company *President* or *Chief Executive Officer*, this document must attach evidence showing the individual's authority to bind the proposing entity.**

**DO NOT SIGN THIS DOCUMENT IF YOU ARE NOT LEGALLY AUTHORIZED TO BIND THE PROPOSING ENTITY**

**SIGNATURE:**

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**PRINTED NAME & TITLE:**

---

**DATE:**

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**PROPOSER LEGAL ENTITY NAME:**

---

**PROPOSER FEDERAL EMPLOYER IDENTIFICATION NUMBER (or SSN):**

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**TECHNICAL PROPOSAL & EVALUATION GUIDE**

**SECTION A: MANDATORY REQUIREMENTS.** The Proposer must address all items detailed below and provide, in sequence, the information and documentation as required (referenced with the associated item references). The Proposer must also detail the proposal page number for each item in the appropriate space below.

The RFP Coordinator will review the proposal to determine if the Mandatory Requirement Items are addressed as required and mark each with pass or fail. For each item that is not addressed as required, the Proposal Evaluation Team must review the proposal and attach a written determination. In addition to the Mandatory Requirement Items, the RFP Coordinator will review each proposal for compliance with all RFP requirements.

| <b>PROPOSER LEGAL ENTITY NAME:</b>              |                  |  |                  |
|---|------------------|--|------------------|
| <b>Proposal Page #<br/>(Proposer completes)</b> | <b>Item Ref.</b> | <b>Section A— Mandatory Requirement Items</b>  | <b>Pass/Fail</b> |
|   |                  | The Proposal must be delivered to the State no later than the Proposal Deadline specified in the RFP Section 2, Schedule of Events.  |                  |
|   |                  | The Technical Proposal and the Cost Proposal documentation must be packaged separately as required (refer to RFP Section 3.2., <i>et. seq.</i> ).  |                  |
|   |                  | The Technical Proposal must NOT contain cost or pricing information of any type.   |                  |
|   |                  | The Technical Proposal must NOT contain any restrictions of the rights of the State or other qualification of the proposal.  |                  |
|   |                  | A Proposer must NOT submit alternate proposals.  |                  |
|   |                  | A Proposer must NOT submit multiple proposals in different forms (as a prime and a sub-contractor).  |                  |
|   | <b>A.1.</b>      | Provide the Proposal Statement of Certifications and Assurances (RFP Attachment 6.1.) completed and signed by an individual empowered to bind the Proposer to the provisions of this RFP and any resulting contract. The document must be signed without exception or qualification.   |                  |
|   | <b>A.2.</b>      | Provide a statement, based upon reasonable inquiry, of whether the Proposer or any individual who shall perform work under the contract has a possible conflict of interest (e.g., employment by the State of Tennessee) and, if so, the nature of that conflict.<br><br>NOTE: Any questions of conflict of interest shall be solely within the discretion of the State, and the State reserves the right to cancel any award. |                  |
|   | <b>A.3.</b>      | Provide a current bank reference indicating that the Proposer's business relationship with the financial institution is in positive standing. Such reference must be written in the form of a standard business letter, signed, and dated within the past three (3) months.  |                  |
|   | <b>A.4.</b>      | Provide two current positive credit references from vendors with which the Proposer has done business written in the form of standard business letters, signed, and dated within the past three (3) months.  |                  |
|   | <b>A.5.</b>      | Provide an official document or letter from an accredited credit bureau, verified and dated within the last three (3) months and indicating a positive credit rating for the Proposer (NOTE: A credit bureau report number without the full report is insufficient and will <u>not</u> be considered responsive.)  |                  |

|  |                      |  |                  |
|--|----------------------|--|------------------|
| <b>PROPOSER LEGAL ENTITY NAME:</b>                                     |                      |  |                  |
| <b>Proposal<br/>Page #<br/>(Proposer<br/>completes)</b>                | <b>Item<br/>Ref.</b> | <b>Section A— Mandatory Requirement Items</b>  | <b>Pass/Fail</b> |
|  | <b>A.6.</b>          | Provide instructions for onsite and remote trial access, via username and password, for multiple simultaneous users, for the length of the RFP evaluation process. Refer to RFP Section 3.8. |                  |
| <i>State Use – RFP Coordinator Signature, Printed Name &amp; Date:</i> |                      |  |                  |

**TECHNICAL PROPOSAL & EVALUATION GUIDE**

**SECTION B: GENERAL QUALIFICATIONS & EXPERIENCE.** The Proposer must address all items detailed below and provide, in sequence, the information and documentation as required (referenced with the associated item references). The Proposer must also detail the proposal page number for each item in the appropriate space below. Proposal Evaluation Team members will independently evaluate and assign one score for all responses to Section B— General Qualifications & Experience Items.

|   |                  |   |
|---|------------------|---|
| <b>PROPOSER LEGAL ENTITY NAME:</b>              |                  |   |
| <b>Proposal Page #<br/>(Proposer completes)</b> | <b>Item Ref.</b> | <b>Section B— General Qualifications &amp; Experience Items</b>   |
|   | <b>B.1.</b>      | Detail the name, e-mail address, mailing address, telephone number, and facsimile number of the person the State should contact regarding the proposal.   |
|   | <b>B.2.</b>      | Describe the Proposer's form of business ( <i>i.e.</i> , individual, sole proprietor, corporation, non-profit corporation, partnership, limited liability company) and business location (physical location or domicile).   |
|   | <b>B.3.</b>      | Detail the number of years the Proposer has been in business.   |
|   | <b>B.4.</b>      | Briefly describe how long the Proposer has been performing the services required by this RFP.   |
|   | <b>B.5.</b>      | Describe the Proposer's number of employees, client base, and location of offices.  |
|   | <b>B.6.</b>      | Provide a statement of whether there have been any mergers, acquisitions, or sales of the Proposer within the last ten years. If so, include an explanation providing relevant details.   |
|   | <b>B.7.</b>      | Provide a statement of whether the Proposer or, to the Proposer's knowledge, any of the Proposer's employees, agents, independent contractors, or subcontractors, proposed to provide work on a contract pursuant to this RFP, have been convicted of, pled guilty to, or pled <i>nolo contendere</i> to any felony. If so, include an explanation providing relevant details.  |
|   | <b>B.8.</b>      | Provide a statement of whether, in the last ten years, the Proposer has filed (or had filed against it) any bankruptcy or insolvency proceeding, whether voluntary or involuntary, or undergone the appointment of a receiver, trustee, or assignee for the benefit of creditors. If so, include an explanation providing relevant details.   |
|   | <b>B.9.</b>      | <p>Provide a statement of whether there is any material, pending litigation against the Proposer that the Proposer should reasonably believe could adversely affect its ability to meet contract requirements pursuant to this RFP or is likely to have a material adverse effect on the Proposer's financial condition. If such exists, list each separately, explain the relevant details, and attach the opinion of counsel addressing whether and to what extent it would impair the Proposer's performance in a contract pursuant to this RFP.</p> <p>NOTE: All persons, agencies, firms, or other entities that provide legal opinions regarding the Proposer must be properly licensed to render such opinions. The State may require the Proposer to submit proof of such licensure detailing the state of licensure and licensure number for each person or entity that renders such opinions.</p> |
|   | <b>B.10.</b>     | <p>Provide a statement of whether there are any pending or in progress Securities Exchange Commission investigations involving the Proposer. If such exists, list each separately, explain the relevant details, and attach the opinion of counsel addressing whether and to what extent it will impair the Proposer's performance in a contract pursuant to this RFP.</p> <p>NOTE: All persons, agencies, firms, or other entities that provide legal opinions regarding the Proposer must be properly licensed to render such opinions. The State may require the Proposer to submit proof of such licensure detailing the state of licensure and licensure number for each person or entity that renders such opinions.</p>  |

**RFP ATTACHMENT 6.2. — SECTION B (continued)**

|   |                  |   |
|---|------------------|---|
| <b>PROPOSER LEGAL ENTITY NAME:</b>              |                  |   |
| <b>Proposal Page #<br/>(Proposer completes)</b> | <b>Item Ref.</b> | <b>Section B— General Qualifications &amp; Experience Items</b>   |
|   | <b>B.11.</b>     | Provide a brief, descriptive statement detailing evidence of the Proposer's ability to deliver the services sought under this RFP (e.g., prior experience, training, certifications, resources, program and quality management systems, etc.).  |
|   | <b>B.12.</b>     | Provide a narrative description of the proposed project team, its members, and organizational structure along with an organizational chart identifying the key people who will be assigned to accomplish the work required by this RFP, illustrating the lines of authority, and designating the individual responsible for the completion of each service component and deliverable of the RFP.  |
|   | <b>B.13.</b>     | Provide a personnel roster listing the names of key people who the Proposer will assign to perform duties or services required by this RFP along with the estimated number of hours that each individual will devote to that performance. Follow the personnel roster with a resume for each of the people listed. The resumes must detail the individual's title, education, current position with the Proposer, and employment history.   |
|   | <b>B.14.</b>     | <p>Provide a statement of whether the Proposer intends to use subcontractors to accomplish the work required by this RFP, and if so, detail:</p> <ul style="list-style-type: none"> <li>(a) the names of the subcontractors along with the contact person, mailing address, telephone number, and e-mail address for each;</li> <li>(b) a description of the scope and portions of the work each subcontractor will perform; <u>and</u></li> <li>(c) a statement specifying that each proposed subcontractor has expressly assented to being proposed as a subcontractor in the Proposer's response to this RFP.</li> </ul>   |
|   | <b>B.15.</b>     | <p>Provide documentation of the Proposer's commitment to diversity as represented by its business strategy, business relationships, and workforce— this documentation should detail <u>all</u> of the following:</p> <ul style="list-style-type: none"> <li>(a) a description of the Proposer's existing programs and procedures designed to encourage and foster commerce with business enterprises owned by minorities, women, persons with a handicap or disability and small business enterprises;</li> <li>(b) a listing of the Proposer's current contracts with business enterprises owned by minorities, women, persons with a handicap or disability and small business enterprises, including the following information: <ul style="list-style-type: none"> <li>(i) contract description and total value</li> <li>(ii) contractor name and ownership characteristics (i.e., ethnicity, sex, disability)</li> <li>(iii) contractor contact and telephone number;</li> </ul> </li> <li>(c) an estimate of the level of participation by business enterprises owned by minorities, women, persons with a handicap or disability and small business enterprises in a contract awarded to the Proposer pursuant to this RFP, including the following information: <ul style="list-style-type: none"> <li>(i) participation estimate (expressed as a percent of the total contract value that will be dedicated to business with subcontractors and supply contractors having such ownership characteristics — <b>PERCENTAGES ONLY — DO NOT INCLUDE DOLLAR AMOUNTS</b>)</li> <li>(ii) descriptions of anticipated contracts</li> <li>(iii) names and ownership characteristics (i.e., ethnicity, sex, disability) of anticipated subcontractors and supply contractors anticipated; and</li> </ul> </li> <li>(d) the percent of the Proposer's total current employees by ethnicity, sex, and handicap or disability.</li> </ul> <p>NOTE: Proposers that demonstrate a commitment to diversity will advance State efforts to expand opportunity to do business with the State as contractors and sub-contractors. Proposal evaluations will recognize the positive qualifications and experience of a Proposer that does business with enterprises owned by minorities, women, persons with a handicap or disability and small business</p> |

## RFP ATTACHMENT 6.2. — SECTION B (continued)

| PROPOSER LEGAL ENTITY NAME:          |              |  |
|--------------------------------------|--------------|--|
| Proposal Page # (Proposer completes) | Item Ref.    | Section B— General Qualifications & Experience Items   |
|                                      |              | enterprises and that offers a diverse workforce to meet service needs.   |
|                                      | <b>B.16.</b> | <p>Provide a statement of whether or not the Proposer has any current contracts with the State of Tennessee or has completed any contracts with the State of Tennessee within the previous 5-year period. If so, provide the following information for all of the current and completed contracts:</p> <ul style="list-style-type: none"> <li>(a) the name, title, telephone number and e-mail address of the State contact knowledgeable about the contract;</li> <li>(b) the procuring State agency name;</li> <li>(c) a brief description of the contract's scope of services;</li> <li>(d) the contract term; and</li> <li>(e) the contract number.</li> </ul> <p>NOTES:</p> <ul style="list-style-type: none"> <li>▪ Current or prior contracts with the State are <u>not</u> a prerequisite and are <u>not</u> required for the maximum evaluation score, and the existence of such contracts with the State will <u>not</u> automatically result in the addition or deduction of evaluation points.</li> <li>▪ Each evaluator will generally consider the results of inquiries by the State regarding all contracts noted.</li> </ul>   |
|                                      | <b>B.17.</b> | <p>Provide customer references from individuals (who are <u>not</u> current or former officials or staff of the State of Tennessee) for projects similar to the services sought under this RFP and which represent:</p> <ul style="list-style-type: none"> <li>▪ two (2) of the larger accounts currently serviced by the Proposer, <u>and</u></li> <li>▪ three (3) completed projects.</li> </ul> <p>All references must be provided in the form of standard reference questionnaires that have been fully completed by the individual providing the reference as required. The standard reference questionnaire, which <u>must</u> be used and completed as required, is detailed at RFP Attachment 6.4. References that are not completed as required will be considered non-responsive and will not be considered.</p> <p>The Proposer will be <u>solely</u> responsible for obtaining the fully completed reference questionnaires, and for including them within the Proposer's sealed Technical Proposal. In order to obtain and submit the completed reference questionnaires, as required, follow the process detailed below.</p> <ul style="list-style-type: none"> <li>(a) "Customize" the standard reference questionnaire at RFP Attachment 6.4. by adding the subject Proposer's name, and make exact duplicates for completion by references.</li> <li>(b) Send the customized reference questionnaires to each individual chosen to provide a reference along with a new standard #10 envelope.</li> <li>(c) Instruct the person that will provide a reference for the Proposer to:             <ul style="list-style-type: none"> <li>(i) complete the reference questionnaire (on the form provided or prepared, completed, and printed using an exact duplicate of the document);</li> <li>(ii) sign <u>and</u> date the completed, reference questionnaire;</li> <li>(iii) seal the completed, signed, and dated, reference questionnaire within the envelope provided;</li> <li>(iv) sign his or her name in ink across the sealed portion of the envelope; and</li> <li>(v) return the sealed envelope containing the completed reference questionnaire directly to the Proposer (the Proposer may wish to give each reference a deadline, such that the Proposer will be able to collect all required references in time to include them within the sealed Technical Proposal).</li> </ul> </li> <li>(d) <u>Do NOT open the sealed references upon receipt.</u></li> <li>(e) Enclose all <u>sealed</u> reference envelopes within a larger, labeled envelope for inclusion in the Technical Proposal as required.</li> </ul> <p>NOTES:</p> <ul style="list-style-type: none"> <li>▪ The State will not accept late references or references submitted by any means other than that which is described above, and each reference questionnaire submitted must be completed as required.</li> </ul> |

**RFP ATTACHMENT 6.2. — SECTION B (continued)**

|  |                      |  |
|--|----------------------|--|
| <b>PROPOSER LEGAL ENTITY NAME:</b>   |                      |  |
| <b>Proposal<br/>Page #<br/>(Proposer<br/>completes)</b>  | <b>Item<br/>Ref.</b> | <b>Section B— General Qualifications &amp; Experience Items</b>  |
|  |                      | <ul style="list-style-type: none"> <li>▪ The State will not review more than the number of required references indicated above.</li> <li>▪ While the State will base its reference check on the contents of the sealed reference envelopes included in the Technical Proposal package, the State reserves the right to confirm and clarify information detailed in the completed reference questionnaires, and may consider clarification responses in the evaluation of references.</li> <li>▪ The State is under <u>no</u> obligation to clarify any reference information.</li> </ul> |
| <b>SCORE (for <u>all</u> Section B—Qualifications &amp; Experience Items above):</b><br><i>(maximum possible score = 20)</i> |                      |  |
| <i>State Use – Evaluator Identification:</i>   |                      |  |

## RFP ATTACHMENT 6.2. — SECTION C

## TECHNICAL PROPOSAL &amp; EVALUATION GUIDE

**SECTION C: TECHNICAL QUALIFICATIONS, EXPERIENCE & APPROACH.** The Proposer must address all items (below) and provide, in sequence, the information and documentation as required (referenced with the associated item references). The Proposer must also detail the proposal page number for each item in the appropriate space below.

A Proposal Evaluation Team, made up of three or more State employees, will independently evaluate and score the proposal's response to each item. Each evaluator will use the following whole number, raw point scale for scoring each item:

**0 = little value      1 = poor      2 = fair      3 = satisfactory      4 = good      5 = excellent**

The RFP Coordinator will multiply the Item Score by the associated Evaluation Factor (indicating the relative emphasis of the item in the overall evaluation). The resulting product will be the item's raw, weighted score for purposes of calculating the section score as indicated.

| <b>PROPOSER LEGAL ENTITY NAME:</b>              |                  |  |                   |                          |                           |
|---|------------------|--|-------------------|--------------------------|---------------------------|
| <b>Proposal Page #<br/>(Proposer completes)</b> | <b>Item Ref.</b> | <b>Section C— Technical Qualifications, Experience &amp; Approach Items</b>  | <b>Item Score</b> | <b>Evaluation Factor</b> | <b>Raw Weighted Score</b> |
|   | <b>C.1.</b>      | Provide a narrative that illustrates the Proposer's understanding of the State's requirements and project schedule.  |                   | <b>50</b>                |                           |
|   | <b>C.2.</b>      | Provide a narrative that illustrates how the Proposer will complete the scope of services, accomplish required objectives, and meet the State's project schedule.  |                   | <b>50</b>                |                           |
|   | <b>C.3.</b>      | Provide a narrative that illustrates how the Proposer will manage the project, ensure completion of the scope of services, and accomplish required objectives within the State's project schedule.   |                   | <b>50</b>                |                           |
|   | <b>C.4.</b>      | Provide detailed summaries of content provided, including quality of collection (e.g., cover-to-cover content, years of coverage, handling of special issues, retracted articles, missing materials/gaps in coverage, corrections, quality of images, etc.).   |                   | <b>20</b>                |                           |
|   | <b>C.5.</b>      | Provide a narrative describing the comprehensive aspects of the subject/topic coverage and indexing, including the scope of authoritative and appropriate content, up-to-date bibliographical references, and articles, ebooks, and other resources.   |                   | <b>20</b>                |                           |
|   | <b>C.6.</b>      | Provide a current, accurate list of available indexed and full text items, providing information on full text available, type of coverage (e.g., complete or partial, ongoing or rolling), dates of coverage, and ISSNs. Include embargoed titles specifying exact embargo period for each title. Indicate if any halted full text titles are still in print. This list should be made available in an electronic spreadsheet. |                   | <b>20</b>                |                           |
|   | <b>C.7.</b>      | Describe how metadata is utilized and developed.   |                   | <b>10</b>                |                           |
|   | <b>C.8.</b>      | Provide a definition of "peer-reviewed". Provide a list of peer-reviewed journals included.  |                   | <b>10</b>                |                           |



| PROPOSER LEGAL ENTITY NAME:             |              |   |            |                   |                    |
|---|--------------|---|------------|-------------------|--------------------|
| Proposal Page #<br>(Proposer completes) | Item Ref.    | Section C— Technical Qualifications, Experience & Approach Items  | Item Score | Evaluation Factor | Raw Weighted Score |
|   | <b>C.9.</b>  | Specify the exclusive content provided by the Proposer. This list should be made available in an electronic spreadsheet.  |            | <b>10</b>         |                    |
|   | <b>C.10.</b> | Specify the format of full text articles, e.g., HTML, PDF, native PDF, etc.   |            | <b>10</b>         |                    |
|   | <b>C.11.</b> | Describe the methodology of and specify the frequency for updating each of the databases and journal collections (daily updates preferred). Include updates for supplemental materials.   |            | <b>20</b>         |                    |
|   | <b>C.12.</b> | Describe uptime for the system for the previous year and specify how often the system failed and the duration of the average and longest system failure. Describe the ability to provide explanations and alternatives where the user is denied service or error messages are produced. |            | <b>10</b>         |                    |
|   | <b>C.13.</b> | Specify whether the resources are available seven (7) days per week, twenty-four (24) hours per day.  |            | <b>20</b>         |                    |
|   | <b>C.14.</b> | Describe system monitoring and measures, such as server redundancy, to prevent disruptions in service in case of system failure, problems with Internet service provider, or other such issues.   |            | <b>10</b>         |                    |
|   | <b>C.15.</b> | Describe mechanism for systematic, advance notification of changes in each of the databases, (e.g., notices of changes in system design, scheduled down time, additions and deletions of titles, full-text coverage, etc.) and for the reporting of current problems as they develop.   |            | <b>15</b>         |                    |
|   | <b>C.16.</b> | Describe methods of user authentication, especially the ability to work with existing geo-location authentication services, access through proxy servers, Internet Protocols (IP) authentication, and federated authentication protocols such as Athens and Shibboleth.                 |            | <b>20</b>         |                    |
|   | <b>C.17.</b> | Describe ability to provide full bibliographic records in Machine-Readable Catalog (MARC) format that follows the new Resource Description and Access (RDA) standard. If MARC records can be provided, describe customization capabilities and provide a sample file.                   |            | <b>15</b>         |                    |
|   | <b>C.18.</b> | Describe support for National Information Standards Organization (NISO) Z39.80 Standard Format for Downloading Bibliographic Records.   |            | <b>10</b>         |                    |

| PROPOSER LEGAL ENTITY NAME:             |              |   |            |                   |                    |
|---|--------------|---|------------|-------------------|--------------------|
| Proposal Page #<br>(Proposer completes) | Item Ref.    | Section C— Technical Qualifications, Experience & Approach Items  | Item Score | Evaluation Factor | Raw Weighted Score |
|   | <b>C.19.</b> | Describe participation in and implementation of metasearch initiatives (i.e., NISO Metasearch Initiative) and compatibility with commercially available federated search products such as WebFeat, 360Search, and Metalib, and discovery products such as Summon and Primo.   |            | <b>15</b>         |                    |
|   | <b>C.20.</b> | Describe the ability to integrate content into standard search engine results, such as Google or Yahoo.   |            | <b>10</b>         |                    |
|   | <b>C.21.</b> | Describe how the product addresses web accessibility and identify level of conformance with each guideline from the Web Accessibility Initiative <i>Web Content Accessibility Guidelines</i> , including how compliance has been tested and verified. Compliance with the <i>Americans with Disabilities Act (ADA)</i> is highly desirable. |            | <b>10</b>         |                    |
|   | <b>C.22.</b> | Describe how the product functions on mobile and tablet platforms. Compliance with the World Wide Web Consortium's (w3c) <i>Mobile Web Application Best Practices</i> is highly desirable.  |            | <b>10</b>         |                    |
|   | <b>C.23.</b> | Describe the resources available for educators, including the scope of resources available and the percentage of which align with state curriculum standards.   |            | <b>20</b>         |                    |
|   | <b>C.24.</b> | Describe any resources developed specifically for the homeschool environment and/or those resources most appropriate for use in the homeschool environment.   |            | <b>5</b>          |                    |
|   | <b>C.25.</b> | Provide a narrative describing the extent of internal hypertext links to related topics as well as external hypertext links to related topics, including the scope of authoritative internet resources used.  |            | <b>5</b>          |                    |
|   | <b>C.26.</b> | Detail the use of plug-ins, extensions and embedded applications.   |            | <b>5</b>          |                    |
|   | <b>C.27.</b> | Specify your role as the database publisher or a third party database provider, and describe all contractual relationships to the database publisher.   |            | <b>10</b>         |                    |
|   | <b>C.28.</b> | Describe any capabilities for libraries to control and customize the user interface.  |            | <b>5</b>          |                    |
|   | <b>C.29.</b> | Describe how users are notified of interface changes.   |            | <b>5</b>          |                    |
|   | <b>C.30.</b> | Specify the date of the last usability testing and describe how results were integrated into design changes. If no testing has been done, describe how the  |            | <b>5</b>          |                    |

| PROPOSER LEGAL ENTITY NAME:             |              |  |            |                   |                    |
|---|--------------|--|------------|-------------------|--------------------|
| Proposal Page #<br>(Proposer completes) | Item Ref.    | Section C— Technical Qualifications, Experience & Approach Items   | Item Score | Evaluation Factor | Raw Weighted Score |
|   |              | designers receive feedback.  |            |                   |                    |
|   | <b>C.31.</b> | Describe any interface changes planned for implementation over the next twelve (12) months.  |            | <b>5</b>          |                    |
|   | <b>C.32.</b> | Describe the extent of current direct linking to quality open access journals or future plans to add linking.  |            | <b>5</b>          |                    |
|   | <b>C.33.</b> | Describe integration options supported, including but not limited to: the Z39.50 protocol, Open Uniform Resource Locator (OpenURL) linking and link resolvers, federated searching, and the ability to indicate local library holdings.    |            | <b>40</b>         |                    |
|   | <b>C.34.</b> | Describe any citation building tools available, and describe how version updates of citation products are implemented.   |            | <b>10</b>         |                    |
|   | <b>C.35.</b> | Describe the system's ability to electronically route requests to interlibrary loan departments.   |            | <b>5</b>          |                    |
|   | <b>C.36.</b> | Describe any restrictions on copying, displaying, printing, downloading, or archiving of any content or multimedia of the database(s).   |            | <b>10</b>         |                    |
|   | <b>C.37.</b> | Describe the steps taken to maintain institutional and consortial confidentiality and user confidentiality and privacy.  |            | <b>10</b>         |                    |
|   | <b>C.38.</b> | Describe security measures for individual accounts and system management of user accounts, for example when the user is able to save searches or to establish a personalized account (such as "My Account").                               |            | <b>10</b>         |                    |
|   | <b>C.39.</b> | Describe technical support, including hours available, contact options for TEL member libraries, and average response time for service calls.  |            | <b>5</b>          |                    |
|   | <b>C.40.</b> | Describe the types of use measurement and usage reports that can be generated by TEL members, including Counting Online Usage of Networked Electronic Resources (COUNTER) and Standardized Usage Harvesting Initiative (SUSHI) compliance. |            | <b>20</b>         |                    |
|   | <b>C.41.</b> | Describe the variety of formats available for statistical reports.   |            | <b>15</b>         |                    |
|   | <b>C.42.</b> | Describe the schedule for supplying routine statistical reports.   |            | <b>10</b>         |                    |
|   | <b>C.43.</b> | Describe options for customized management reports   |            | <b>10</b>         |                    |

| <b>PROPOSER LEGAL ENTITY NAME:</b>              |                  |   |                   |                          |                           |
|---|------------------|---|-------------------|--------------------------|---------------------------|
| <b>Proposal Page #<br/>(Proposer completes)</b> | <b>Item Ref.</b> | <b>Section C— Technical Qualifications, Experience &amp; Approach Items</b>   | <b>Item Score</b> | <b>Evaluation Factor</b> | <b>Raw Weighted Score</b> |
|   |                  | available on demand.  |                   |                          |                           |
|   | <b>C.44.</b>     | Describe in detail the quality control measures in place to guarantee accuracy and standardization of usage data.   |                   | <b>10</b>                |                           |
|   | <b>C.45.</b>     | Describe availability of face-to-face training sessions taught by Proposer's personnel. Specify limits on the number of sessions or number of attendees.  |                   | <b>15</b>                |                           |
|   | <b>C.46.</b>     | Describe availability of online training sessions taught by Proposer's personnel. Specify limits on the number of sessions or number of attendees.  |                   | <b>15</b>                |                           |
|   | <b>C.47.</b>     | Describe any promotional support Proposer will provide. If available, include examples of previous work.  |                   | <b>20</b>                |                           |
| <b>TRIAL ACCESS SUBSECTION</b>                  |                  |   |                   |                          |                           |
|   | <b>C.48.</b>     | Describe system functionality in the following types of searches: <ul style="list-style-type: none"> <li>• Author, title, and subject searching</li> <li>• Keyword searching</li> <li>• Natural language queries</li> <li>• Proximity searching</li> <li>• Default search fields</li> <li>• Phrase searching</li> <li>• Cross database searching</li> </ul> |                   | <b>30</b>                |                           |
|   | <b>C.49.</b>     | Describe any thesaurus or controlled vocabulary used, specifying source.  |                   | <b>10</b>                |                           |
|   | <b>C.50.</b>     | Describe the ability to browse specific titles by date or volume/issue, and for publications by subject.  |                   | <b>10</b>                |                           |
|   | <b>C.51.</b>     | Describe all current methods for capturing content, including printing, bookmarking, creating persistent links, downloading, document delivery, emailing, sharing via social networks, exporting to citation management software such as RefWorks or EndNote.   |                   | <b>30</b>                |                           |
|   | <b>C.52.</b>     | Describe the means for creating and saving searches, establishing a personalized account (such as "My Account"), the types of alerts that can be set (e.g., search or journal), the frequency of alerts delivery, and the means of notification (e.g., via e-mail, Rich Site Summary (RSS) feeds).  |                   | <b>10</b>                |                           |
|   | <b>C.53.</b>     | Describe any search history features, particularly if users are allowed to reselect and combine previous  |                   | <b>10</b>                |                           |

| PROPOSER LEGAL ENTITY NAME:             |              |   |            |                   |                    |
|---|--------------|---|------------|-------------------|--------------------|
| Proposal Page #<br>(Proposer completes) | Item Ref.    | Section C— Technical Qualifications, Experience & Approach Items  | Item Score | Evaluation Factor | Raw Weighted Score |
|   |              | search statements and to delete unwanted search statements, or to revise a search without starting over.  |            |                   |                    |
|   | <b>C.54.</b> | Describe a user's ability to sort or limit searches, including but not limited to date range, full text, language, document type such as refereed/peer reviewed, source type or materials held by the local library.  |            | <b>20</b>         |                    |
|   | <b>C.55.</b> | Describe the ability to suggest alternative search strategies for too few or too many search results.   |            | <b>10</b>         |                    |
|   | <b>C.56.</b> | Describe the ability to display highlighted terms in search results.  |            | <b>10</b>         |                    |
|   | <b>C.57.</b> | Describe the ability to search by guided reading level, such as Lexile Measure or Fountas and Pinnell, or grade level. If guided reading level is not used, identify how grade level of content is determined.  |            | <b>15</b>         |                    |
|   | <b>C.58.</b> | Describe the ability to identify misspellings and suggest alternatives.   |            | <b>10</b>         |                    |
|   | <b>C.59.</b> | Describe any "smart searching" features, such as the automatic retrieval of singular and plural search terms (library, libraries), punctuated terms (American, American's), variant English language spellings (color, colour), and full names or acronyms (NASA finds National Aeronautics and Space Administration and vice versa). |            | <b>10</b>         |                    |
|   | <b>C.60.</b> | Describe the ability to provide a visual/graphical search results screen, or any other alternative searching option that deliver results in a non-textual, non-list format.   |            | <b>10</b>         |                    |
|   | <b>C.61.</b> | Describe options for a user's various searching modes (e.g., basic, advanced, expert).  |            | <b>20</b>         |                    |
|   | <b>C.62.</b> | Provide examples of any search interfaces configured for special age/educational groups.  |            | <b>10</b>         |                    |
|   | <b>C.63.</b> | Describe the system's functionality involving the display of records by date, relevancy, and user selected fields.  |            | <b>10</b>         |                    |
|   | <b>C.64.</b> | Provide a narrative that describes any added features such as lesson plans, study guides, and news updates.   |            | <b>10</b>         |                    |
|   | <b>C.65.</b> | Provide examples of the use of images, including photographs, maps, graphs/charts/tables, and other illustrations within articles, and describe the system's ability to display, download, export and print such  |            | <b>10</b>         |                    |

| <b>PROPOSER LEGAL ENTITY NAME:</b>   |                  |   |                   |                          |   |
|--|------------------|---|-------------------|--------------------------|---|
| <b>Proposal Page #<br/>(Proposer completes)</b>  | <b>Item Ref.</b> | <b>Section C— Technical Qualifications,<br/>Experience &amp; Approach Items</b>   | <b>Item Score</b> | <b>Evaluation Factor</b> | <b>Raw Weighted Score</b>   |
|  |                  | materials.  |                   |                          |   |
|  | <b>C.66.</b>     | Provide examples of multimedia content available.   |                   | <b>20</b>                |   |
|  | <b>C.67.</b>     | Provide a detailed description of the user interface.   |                   | <b>30</b>                |   |
|  | <b>C.68.</b>     | Provide a narrative that describes any options to present interface and/or content in non-English languages.  |                   | <b>10</b>                |   |
|  | <b>C.69.</b>     | Describe the ability to display file size when downloading articles and/or display of number of printed pages when printing articles and whether printing is controlled by search interface or browser. |                   | <b>5</b>                 |   |
| <i>The RFP Coordinator will use this sum and the formula below to calculate the section score. All calculations will use and result in numbers rounded to two (2) places to the right of the decimal point.</i>  |                  |   |                   |                          | <b>Total Raw Weighted Score:</b><br><i>(sum of Raw Weighted Scores above)</i> |
| <div style="display: flex; justify-content: space-between; align-items: center;"> <div style="text-align: center;"> <b>Total Raw Weighted Score</b><br/> <hr style="width: 40%; margin: 0 auto;"/> <b>Maximum Possible Raw Weighted Score</b><br/> <i>(i.e., 5 x the sum of item weights above)</i> </div> <div style="text-align: center;"> <b>X 40</b><br/> <i>(maximum possible score)</i> </div> <div style="text-align: center;"> <b>= SCORE:</b> </div> </div> |                  |   |                   |                          |   |
| <i>State Use – Evaluator Identification:</i>   |                  |   |                   |                          |   |
| <i>State Use – RFP Coordinator Signature, Printed Name &amp; Date:</i>   |                  |   |                   |                          |   |

## RFP ATTACHMENT 6.2.— SECTION D

## TECHNICAL PROPOSAL &amp; EVALUATION GUIDE

**SECTION D: ORAL PRESENTATION.** The Proposer must address ALL Oral Presentation Items (below).

A Proposal Evaluation Team, made up of three or more State employees, will independently evaluate and score the presentation response to each item. Each evaluator will use the following whole-number, raw point scale for scoring each item:

**0 = little value      1 = poor      2 = fair      3 = satisfactory      4 = good      5 = excellent**

The RFP Coordinator will multiply the Item Score by the associated Evaluation Factor (indicating the relative emphasis of the item in the overall evaluation). The resulting product will be the item's raw, weighted score for purposes of calculating the section score as indicated.

|  |  |                   |                           |
|--|--|-------------------|---------------------------|
| <b>PROPOSER LEGAL ENTITY NAME:</b>   |  |                   |                           |
| <b>Oral Presentation Items</b>   |  | <b>Item Score</b> | <b>Raw Weighted Score</b> |
| <b>D.1.</b>  | Introduction of Vendor Key Staff conducting the Software Demonstration |                   | <b>5</b>                  |
| <b>D.2.</b>  | Demonstrate General System Features                                    |                   | <b>20</b>                 |
| <b>D.3.</b>  | Demonstrate Search Features  |                   | <b>25</b>                 |
| <b>D.4.</b>  | Demonstrate Canned and Custom Reports                                  |                   | <b>20</b>                 |
| <b>D.5.</b>  | Demonstrate Online Training Features                                   |                   | <b>10</b>                 |
| <b>D.6.</b>  | Demonstrate any Alternate Interfaces for Mobile Devices                |                   | <b>10</b>                 |
| <b>D.7.</b>  | Demonstrate Other Features/Functionality                               |                   | <b>10</b>                 |
| <b>Total Raw Weighted Score</b> (sum of Raw Weighted Scores above):<br>The RFP Coordinator will use this sum and the formula below to calculate the score.<br>Numbers rounded to two (2) places to the right of the decimal point will be standard for calculations. |  |                   |                           |
| $\frac{\text{total raw weighted score}}{\text{maximum possible raw weighted score}} \times 10 = \text{SCORE:}$ <i>(i.e., 5 x the sum of item weights above)</i> <i>(maximum section score)</i>   |  |                   |                           |
| State Use – Evaluator Identification:  |  |                   |                           |
| State Use – RFP Coordinator Signature, Printed Name & Date:  |  |                   |                           |

**RFP ATTACHMENT 6.3.****COST PROPOSAL & SCORING GUIDE**

**NOTICE: THIS COST PROPOSAL MUST BE COMPLETED EXACTLY AS REQUIRED**

**COST PROPOSAL SCHEDULE—** The Cost Proposal, detailed below, shall indicate the proposed price for the entire scope of service including all services defined in the Scope of Services of the RFP Attachment 6.6., *Pro Forma* Contract and for the entire contract period. The Cost Proposal shall remain valid for at least 120 days subsequent to the date of the Cost Proposal opening and thereafter in accordance with any contract resulting from this RFP. All monetary amounts shall be in U.S. currency and limited to two (2) places to the right of the decimal point.

**NOTICE:** The Evaluation Factor associated with each cost item is for evaluation purposes only. The evaluation factors do NOT and should NOT be construed as any type of volume guarantee or minimum purchase quantity. The evaluation factors shall NOT create rights, interests, or claims of entitlement in the Proposer.

Notwithstanding the cost items herein, pursuant to the second paragraph of the pro forma contract section C.1. (refer to RFP Attachment 6.6.), "The State is under no obligation to request work from the Contractor in any specific dollar amounts or to request any work at all from the Contractor during any period of this Contract."

This Cost Proposal must be signed, in the space below, by an individual empowered to bind the proposing entity to the provisions of this RFP and any contract awarded pursuant to it. If said individual is not the *President* or *Chief Executive Officer*, this document must attach evidence showing the individual's authority to legally bind the proposing entity.

| <b>PROPOSER SIGNATURE:</b>   |   |                   |                                    |
|--|---|-------------------|------------------------------------|
| <b>PRINTED NAME &amp; TITLE:</b>   |   |                   |                                    |
| <b>DATE:</b>   |   |                   |                                    |
| <b>PROPOSER LEGAL ENTITY NAME:</b>   |   |                   |                                    |
| Cost Item Description  | Proposed Cost<br>October 1, 2012-<br>September 30, 2017 | State Use Only    |                                    |
|  |   | Evaluation Factor | Evaluation Cost<br>(cost x factor) |
| ANNUAL FLAT FEE FOR ALL PROPOSED SERVICES  | \$ / YEAR   | 5                 |                                    |
| <b>EVALUATION COST AMOUNT</b> (sum of evaluation costs above):<br>The RFP Coordinator will use this sum and the formula below to calculate the Cost Proposal Score. Numbers rounded to two (2) places to the right of the decimal point will be standard for calculations. |   |                   |                                    |
| $\frac{\text{lowest evaluation cost amount from all proposals}}{\text{evaluation cost amount being evaluated}} \times 30 \text{ (maximum section score)} = \text{SCORE:}$  |   |                   |                                    |
| State Use – RFP Coordinator Signature, Printed Name & Date:  |   |                   |                                    |



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**RFP ATTACHMENT 6.4.****REFERENCE QUESTIONNAIRE**

**The standard reference questionnaire provided on the following pages of this attachment MUST be completed by all individuals offering a reference for the Proposer.**

The Proposer will be solely responsible for obtaining completed reference questionnaires as required (refer to RFP Attachment 6.2., Technical Proposal & Evaluation Guide, Section B, Item B.17.), and for enclosing the sealed reference envelopes within the Proposer's Technical Proposal.

**RFP # 30504-01612 PROPOSAL REFERENCE QUESTIONNAIRE****REFERENCE SUBJECT: PROPOSER NAME (completed by proposer before reference is requested)**

The "reference subject" specified above, intends to submit a proposal to the State of Tennessee in response to the Request for Proposals (RFP) indicated. As a part of such proposal, the reference subject must include a number of completed and sealed reference questionnaires (using this form).

Each individual responding to this reference questionnaire is asked to follow these instructions:

- complete this questionnaire (either using the form provided or an exact duplicate of this document);
- sign and date the completed questionnaire;
- seal the completed, signed, and dated questionnaire in a new standard #10 envelope;
- sign in ink across the sealed portion of the envelope; and
- return the sealed envelope containing the completed questionnaire directly to the reference subject.

(1) **What is the name of the individual, company, organization, or entity responding to this reference questionnaire?**

(2) **Please provide the following information about the individual completing this reference questionnaire on behalf of the above-named individual, company, organization, or entity.**

|                        |  |
|------------------------|--|
| <b>NAME:</b>           |  |
| <b>TITLE:</b>          |  |
| <b>TELEPHONE #</b>     |  |
| <b>E-MAIL ADDRESS:</b> |  |

(3) **What services does /did the reference subject provide to your company or organization?**

(4) **What is the level of your overall satisfaction with the reference subject as a vendor of the services described above?**

*Please respond by circling the appropriate number on the scale below.*

|                 |          |          |          |          |          |                |
|-----------------|----------|----------|----------|----------|----------|----------------|
|                 | <b>1</b> | <b>2</b> | <b>3</b> | <b>4</b> | <b>5</b> |                |
| least satisfied |          |          |          |          |          | most satisfied |

RFP # 30504-01612 PROPOSAL REFERENCE QUESTIONNAIRE — PAGE 2

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If you circled 3 or less above, what could the reference subject have done to improve that rating?

- (5) If the services that the reference subject provided to your company or organization are completed, were the services completed in compliance with the terms of the contract, on time, and within budget? If not, please explain.
- (6) If the reference subject is still providing services to your company or organization, are these services being provided in compliance with the terms of the contract, on time, and within budget? If not, please explain.
- (7) How satisfied are you with the reference subject's ability to perform based on your expectations and according to the contractual arrangements?
- (8) In what areas of service delivery does /did the reference subject excel?
- (9) In what areas of service delivery does /did the reference subject fall short?
- (10) What is the level of your satisfaction with the reference subject's project management structures, processes, and personnel?

*Please respond by circling the appropriate number on the scale below.*

|                 |          |          |          |          |          |                |
|-----------------|----------|----------|----------|----------|----------|----------------|
|                 | <b>1</b> | <b>2</b> | <b>3</b> | <b>4</b> | <b>5</b> |                |
| least satisfied |          |          |          |          |          | most satisfied |

What, if any, comments do you have regarding the score selected above?

- (11) Considering the staff assigned by the reference subject to deliver the services described in response to question 3 above, how satisfied are you with the technical abilities, professionalism, and interpersonal skills of the individuals assigned?

*Please respond by circling the appropriate number on the scale below.*

|                 |          |          |          |          |          |                |
|-----------------|----------|----------|----------|----------|----------|----------------|
|                 | <b>1</b> | <b>2</b> | <b>3</b> | <b>4</b> | <b>5</b> |                |
| least satisfied |          |          |          |          |          | most satisfied |

What, if any, comments do you have regarding the score selected above?

- (12) Would you contract again with the reference subject for the same or similar services?

*Please respond by circling the appropriate number on the scale below.*

|                 |          |          |          |          |          |                |
|-----------------|----------|----------|----------|----------|----------|----------------|
|                 | <b>1</b> | <b>2</b> | <b>3</b> | <b>4</b> | <b>5</b> |                |
| least satisfied |          |          |          |          |          | most satisfied |

What, if any, comments do you have regarding the score selected above?

**REFERENCE SIGNATURE:**

(by the individual completing this  
request for reference information)

---

(must be the same as the signature across the envelope seal)

**DATE:**

## RFP ATTACHMENT 6.5.

## PROPOSAL SCORE SUMMARY MATRIX

|   |                      |  |                      |  |                      |  |
|---|----------------------|--|----------------------|--|----------------------|--|
|   | <i>PROPOSER NAME</i> |  | <i>PROPOSER NAME</i> |  | <i>PROPOSER NAME</i> |  |
| <b>GENERAL QUALIFICATIONS<br/>&amp; EXPERIENCE</b><br>(maximum: 20)                 |                      |  |                      |  |                      |  |
| <i>EVALUATOR NAME</i>   |                      |  |                      |  |                      |  |
| <i>EVALUATOR NAME</i>   |                      |  |                      |  |                      |  |
| <i>REPEAT AS NECESSARY</i>  |                      |  |                      |  |                      |  |
|   | <b>AVERAGE:</b>      |  | <b>AVERAGE:</b>      |  | <b>AVERAGE:</b>      |  |
| <b>TECHNICAL<br/>QUALIFICATIONS,<br/>EXPERIENCE &amp; APPROACH</b><br>(maximum: 40) |                      |  |                      |  |                      |  |
| <i>EVALUATOR NAME</i>   |                      |  |                      |  |                      |  |
| <i>EVALUATOR NAME</i>   |                      |  |                      |  |                      |  |
| <i>REPEAT AS NECESSARY</i>  |                      |  |                      |  |                      |  |
|   | <b>AVERAGE:</b>      |  | <b>AVERAGE:</b>      |  | <b>AVERAGE:</b>      |  |
| <b>ORAL PRESENTATION</b><br>(maximum: 10)   |                      |  |                      |  |                      |  |
| <i>EVALUATOR NAME</i>   |                      |  |                      |  |                      |  |
| <i>EVALUATOR NAME</i>   |                      |  |                      |  |                      |  |
| <i>REPEAT AS NECESSARY</i>  |                      |  |                      |  |                      |  |
|   | <b>AVERAGE:</b>      |  | <b>AVERAGE:</b>      |  | <b>AVERAGE:</b>      |  |
| <b>COST PROPOSAL</b><br>(maximum: 30)   | <b>SCORE:</b>        |  | <b>SCORE:</b>        |  | <b>SCORE:</b>        |  |
| <b>TOTAL PROPOSAL<br/>EVALUATION SCORE:</b><br>(maximum: 100)                       |                      |  |                      |  |                      |  |

RFP Coordinator Signature, Printed Name &amp; Date:

**RFP # 30504-01612 *PRO FORMA* CONTRACT**

The *pro forma* contract detailed in following pages of this exhibit contains some “blanks” (signified by descriptions in capital letters) that will be completed with appropriate information in the final contract resulting from the RFP

**CONTRACT  
BETWEEN THE STATE OF TENNESSEE,  
DEPARTMENT OF STATE,  
TENNESSEE STATE LIBRARY AND ARCHIVES  
AND  
CONTRACTOR NAME**

This Contract, by and between the State of Tennessee, Department of State, Tennessee State Library and Archives, hereinafter referred to as the "State" and **Contractor Legal Entity Name**, hereinafter referred to as the "Contractor," is for the provision of acquiring access to full text multidisciplinary periodical databases, as further defined in the "SCOPE OF SERVICES."

The Contractor is **a/an Individual, For-Profit Corporation, Non-Profit Corporation, Special Purpose Corporation Or Association, Partnership, Joint Venture, Or Limited Liability Company.**

Contractor Place of Incorporation or Organization: **Location**

Contractor Edison Registration ID # **Number**

**A. SCOPE OF SERVICES:**

- A.1. The Contractor shall provide all service and deliverables as required, described, and detailed herein and shall meet all service and delivery timelines as specified by this Contract.
- A.2. The Tennessee Electronic Library (TEL) seeks access to electronic periodical services with immediate online full-text article access for users of varying age and educational levels. Coverage content should include a wide range of:
  - refereed academic journals
  - general interest periodicals
  - reference books
  - consumer health information
  - business information
  - homework help and study aids for the K-12 community
- A.3. Periodical resources should include news updates, multimedia content, images, up-to-date bibliographic references and other resources as needed. Content should be updated frequently, with daily updates preferred.
- A.4. Access to the services must be available twenty-four (24) hours a day, seven (7) days a week with notice given to the State if scheduled downtime is to occur. Scheduled downtime must have minimal impact on end users with less than 1% of users being turned away per year. Services must include unlimited remote and on-site access for all eligible libraries, networks and systems.
- A.5. Access will be provided to those with internet access in Tennessee, including students, faculty, and staff of K-12 public and private schools; students, faculty, staff and patrons of public and private academic institutions; patrons and staff of public libraries; and clientele and staff of not-for profit special libraries. This will translate into a variety of access options from remote access for academic and school students through a campus network to dial-up access through commercial internet service providers (ISPs) for home access.
- A.6. Participating institutions use a variety of protocols to access electronic materials, but the World Wide Web (HTTP protocol) is the preferred method of access.
- A.7. Participating institutions use a variety of discovery and catalog integration methods, with bibliographic records in MARC format and link resolvers being the preferred formats.
- A.8. The State contracts with a third-party vendor for geo-location authentication services. The Contractor will be required to participate in this authentication mechanism.

- A.9. The Contractor will be provided a list of TEL libraries and the Contractor will provide any technical expertise necessary to establish any additional authentication mechanisms. To see a list of the current TEL access points, please see [www.tntel.tnsos.org](http://www.tntel.tnsos.org). After the initial authentication process, the Contractor will authenticate additional libraries within five (5) days of notification by the State that the library or library system is eligible.
- A.10. The Contractor must provide routine statistical reports as well as the capability to run reports on an as-needed basis. These reports must be configurable to run on consortium and individual library levels.
- A.11. The Contractor must provide and maintain institutional and consortial confidentiality and user confidentiality and privacy.
- A.12. The Contractor must provide advance notification of changes in each of the databases, including notices of changes in system design, scheduled down time, additions and deletions of titles, full-text coverage, etc.
- A.13. The Contractor must provide in-person and online training opportunities.
- A.14. The Contractor is expected to partner with the State to promote and inform the public on services available.

**B. CONTRACT PERIOD:**

This Contract shall be effective for the period beginning October 1, 2012, and ending on September 30, 2017. The Contractor hereby acknowledges and affirms that the State shall have no obligation for services rendered by the Contractor which were not performed within this specified contract period.

**C. PAYMENT TERMS AND CONDITIONS:**

- C.1. Maximum Liability. In no event shall the maximum liability of the State under this Contract exceed **Written Dollar Amount (\$Number)**. The payment rates in section C.3 shall constitute the entire compensation due the Contractor for all service and Contractor obligations hereunder regardless of the difficulty, materials or equipment required. The payment rates include, but are not limited to, all applicable taxes, fees, overheads, and all other direct and indirect costs incurred or to be incurred by the Contractor.

The Contractor is not entitled to be paid the maximum liability for any period under the Contract or any extensions of the Contract for work not requested by the State. The maximum liability represents available funds for payment to the Contractor and does not guarantee payment of any such funds to the Contractor under this Contract unless the State requests work and the Contractor performs said work. In which case, the Contractor shall be paid in accordance with the payment rates detailed in section C.3. The State is under no obligation to request work from the Contractor in any specific dollar amounts or to request any work at all from the Contractor during any period of this Contract.

- C.2. Compensation Firm. The payment rates and the maximum liability of the State under this Contract are firm for the duration of the Contract and are not subject to escalation for any reason unless amended.
- C.3. Payment Methodology. The Contractor shall be compensated based on the payment rates herein for units of service authorized by the State in a total amount not to exceed the Contract Maximum Liability established in section C.1.
  - a. The Contractor's compensation shall be contingent upon the satisfactory completion of units, milestones, or increments of service defined in section A.



- b. The Contractor shall be compensated for said units, milestones, or increments of service based upon the following payment rates:

| Service Description   | Amount<br>October 1, 2012-September 30, 2017 |
|---|--|
| BI-ANNUAL FLAT FEE FOR ALL PROPOSED SERVICES AS ENUMERATED IN SECTION A | \$ <b>Number</b> /per 6 months               |

The Contractor shall submit invoices, in form and substance acceptable to the State with all of the necessary supporting documentation, prior to any payment. Such invoices shall be submitted for completed units of service or project milestones for the amount stipulated.

- C.4. Travel Compensation. The Contractor shall not be compensated or reimbursed for travel, meals, or lodging.
- C.5. Invoice Requirements. The Contractor shall invoice the State only for completed increments of service and for the amount stipulated in section C.3, above, and present said invoices no more often than monthly, with all necessary supporting documentation, to:

Wendy Cornelisen  
Special Projects Coordinator  
Tennessee State Library & Archives  
403 7<sup>th</sup> Ave North  
Nashville TN 37243

- a. Each invoice shall clearly and accurately detail all of the following required information (calculations must be extended and totaled correctly).
- (1) Invoice Number (assigned by the Contractor)
  - (2) Invoice Date
  - (3) Contract Number (assigned by the State)
  - (4) Customer Account Name: Tennessee State Library & Archives, TEL
  - (5) Customer Account Number (assigned by the Contractor to the above-referenced Customer)
  - (6) Contractor Name
  - (7) Contractor Tennessee Edison Registration ID Number Referenced in Preamble of this Contract
  - (8) Contractor Contact for Invoice Questions (name, phone, and/or fax)
  - (9) Contractor Remittance Address
  - (10) Description of Delivered Service
  - (11) Complete Itemization of Charges, which shall detail the following:
    - i. Service or Milestone Description (including name & title as applicable) of each service invoiced
    - ii. Number of Completed Units, Increments, Hours, or Days as applicable, of each service invoiced
    - iii. Applicable Payment Rate (as stipulated in Section C.3.) of each service invoiced
    - iv. Amount Due by Service
    - v. Total Amount Due for the invoice period
- b. The Contractor understands and agrees that an invoice under this Contract shall:
- (1) include only charges for service described in Contract Section A and in accordance with payment terms and conditions set forth in Contract Section C;

- (2) only be submitted for completed service and shall not include any charge for future work;
  - (3) not include sales tax or shipping charges; and
  - (4) initiate the timeframe for payment (and any discounts) only when the State is in receipt of the invoice, and the invoice meets the minimum requirements of this section C.5.
- C.6. Payment of Invoice. A payment by the State shall not prejudice the State's right to object to or question any payment, invoice, or matter in relation thereto. A payment by the State shall not be construed as acceptance of any part of the work or service provided or as approval of any amount invoiced.
- C.7. Invoice Reductions. The Contractor's invoice shall be subject to reduction for amounts included in any invoice or payment theretofore made which are determined by the State, on the basis of audits conducted in accordance with the terms of this Contract, not to constitute proper remuneration for compensable services.
- C.8. Deductions. The State reserves the right to deduct from amounts, which are or shall become due and payable to the Contractor under this or any contract between the Contractor and the State of Tennessee any amounts, which are or shall become due and payable to the State of Tennessee by the Contractor.
- C.9. Prerequisite Documentation. The Contractor shall not invoice the State under this Contract until the State has received the following documentation properly completed.
  - a. The Contractor shall complete, sign, and present to the State an "Authorization Agreement for Automatic Deposit (ACH Credits) Form" provided by the State. By doing so, the Contractor acknowledges and agrees that, once said form is received by the State, all payments to the Contractor, under this or any other contract the Contractor has with the State of Tennessee shall be made by Automated Clearing House (ACH).
  - b. The Contractor shall complete, sign, and present to the State a "Substitute W-9 Form" provided by the State. The taxpayer identification number detailed by said form must agree with the Contractor's Federal Employer Identification Number or Tennessee Edison Registration ID referenced in this Contract.
- D. STANDARD TERMS AND CONDITIONS:**
  - D.1. Required Approvals. The State is not bound by this Contract until it is signed by the contract parties and approved by appropriate officials in accordance with applicable Tennessee laws and regulations (depending upon the specifics of this contract, said officials may include, but are not limited to, the Commissioner of Finance and Administration, the Commissioner of Human Resources, and the Comptroller of the Treasury).
  - D.2. Modification and Amendment. This Contract may be modified only by a written amendment signed by all parties hereto and approved by both the officials who approved the base contract and, depending upon the specifics of the contract as amended, any additional officials required by Tennessee laws and regulations (said officials may include, but are not limited to, the Commissioner of Finance and Administration, the Commissioner of Human Resources, and the Comptroller of the Treasury).
  - D.3. Termination for Convenience. The State may terminate this Contract without cause for any reason. Said termination shall not be deemed a breach of contract by the State. The State shall give the Contractor at least thirty (30) days written notice before the effective termination date. The Contractor shall be entitled to compensation for satisfactory, authorized service completed as of the termination date, but in no event shall the State be liable to the Contractor for compensation for any service which has not been rendered. Upon such termination, the Contractor shall have no right to any actual general, special, incidental, consequential, or any other damages whatsoever of any description or amount.

- D.4. Termination for Cause. If the Contractor fails to properly perform its obligations under this Contract in a timely or proper manner, or if the Contractor violates any terms of this Contract, the State shall have the right to immediately terminate the Contract and withhold payments in excess of fair compensation for completed services. Notwithstanding the above, the Contractor shall not be relieved of liability to the State for damages sustained by virtue of any breach of this Contract by the Contractor.
- D.5. Subcontracting. The Contractor shall not assign this Contract or enter into a subcontract for any of the services performed under this Contract without obtaining the prior written approval of the State. If such subcontracts are approved by the State, each shall contain, at a minimum, sections of this Contract below pertaining to "Conflicts of Interest," "Nondiscrimination," and "Records" (as identified by the section headings). Notwithstanding any use of approved subcontractors, the Contractor shall be the prime contractor and shall be responsible for all work performed.
- D.6. Conflicts of Interest. The Contractor warrants that no part of the total Contract Amount shall be paid directly or indirectly to an employee or official of the State of Tennessee as wages, compensation, or gifts in exchange for acting as an officer, agent, employee, subcontractor, or consultant to the Contractor in connection with any work contemplated or performed relative to this Contract.

The Contractor acknowledges, understands, and agrees that this Contract shall be null and void if the Contractor is, or within the past six months has been, an employee of the State of Tennessee or if the Contractor is an entity in which a controlling interest is held by an individual who is, or within the past six months has been, an employee of the State of Tennessee.

- D.7. Nondiscrimination. The Contractor hereby agrees, warrants, and assures that no person shall be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of this Contract or in the employment practices of the Contractor on the grounds of handicap or disability, age, race, color, religion, sex, national origin, or any other classification protected by Federal, Tennessee State constitutional, or statutory law. The Contractor shall, upon request, show proof of such nondiscrimination and shall post in conspicuous places, available to all employees and applicants, notices of nondiscrimination.
- D.8. Prohibition of Illegal Immigrants. The requirements of *Tennessee Code Annotated*, Section 12-4-124, *et seq.*, addressing the use of illegal immigrants in the performance of any Contract to supply goods or services to the state of Tennessee, shall be a material provision of this Contract, a breach of which shall be grounds for monetary and other penalties, up to and including termination of this Contract.
- a. The Contractor hereby attests, certifies, warrants, and assures that the Contractor shall not knowingly utilize the services of an illegal immigrant in the performance of this Contract and shall not knowingly utilize the services of any subcontractor who will utilize the services of an illegal immigrant in the performance of this Contract. The Contractor shall reaffirm this attestation, in writing, by submitting to the State a completed and signed copy of the document at Attachment **One**, hereto, semi-annually during the period of this Contract. Such attestations shall be maintained by the Contractor and made available to state officials upon request.
  - b. Prior to the use of any subcontractor in the performance of this Contract, and semi-annually thereafter, during the period of this Contract, the Contractor shall obtain and retain a current, written attestation that the subcontractor shall not knowingly utilize the services of an illegal immigrant to perform work relative to this Contract and shall not knowingly utilize the services of any subcontractor who will utilize the services of an illegal immigrant to perform work relative to this Contract. Attestations obtained from such subcontractors shall be maintained by the Contractor and made available to state officials upon request.

- c. The Contractor shall maintain records for all personnel used in the performance of this Contract. Said records shall be subject to review and random inspection at any reasonable time upon reasonable notice by the State.
  - d. The Contractor understands and agrees that failure to comply with this section will be subject to the sanctions of *Tennessee Code Annotated*, Section 12-4-124, *et seq.* for acts or omissions occurring after its effective date. This law requires the Commissioner of Finance and Administration to prohibit a contractor from contracting with, or submitting an offer, proposal, or bid to contract with the State of Tennessee to supply goods or services for a period of one year after a contractor is discovered to have knowingly used the services of illegal immigrants during the performance of this Contract.
  - e. For purposes of this Contract, "illegal immigrant" shall be defined as any person who is not either a United States citizen, a Lawful Permanent Resident, or a person whose physical presence in the United States is authorized or allowed by the federal Department of Homeland Security and who, under federal immigration laws and/or regulations, is authorized to be employed in the U.S. or is otherwise authorized to provide services under the Contract.
- D.9. Records. The Contractor shall maintain documentation for all charges under this Contract. The books, records, and documents of the Contractor, insofar as they relate to work performed or money received under this Contract, shall be maintained for a period of three (3) full years from the date of the final payment and shall be subject to audit at any reasonable time and upon reasonable notice by the State, the Comptroller of the Treasury, or their duly appointed representatives. The financial statements shall be prepared in accordance with generally accepted accounting principles.
- D.10. Prevailing Wage Rates. All contracts for construction, erection, or demolition or to install goods or materials that involve the expenditure of any funds derived from the State require compliance with the prevailing wage laws as provided in *Tennessee Code Annotated*, Section 12-4-401, *et seq.*
- D.11. Monitoring. The Contractor's activities conducted and records maintained pursuant to this Contract shall be subject to monitoring and evaluation by the State, the Comptroller of the Treasury, or their duly appointed representatives.
- D.12. Progress Reports. The Contractor shall submit brief, periodic, progress reports to the State as requested.
- D.13. Strict Performance. Failure by any party to this Contract to insist in any one or more cases upon the strict performance of any of the terms, covenants, conditions, or provisions of this Contract shall not be construed as a waiver or relinquishment of any such term, covenant, condition, or provision. No term or condition of this Contract shall be held to be waived, modified, or deleted except by a written amendment signed by the parties hereto.
- D.14. Independent Contractor. The parties hereto, in the performance of this Contract, shall not act as employees, partners, joint venturers, or associates of one another. It is expressly acknowledged by the parties hereto that such parties are independent contracting entities and that nothing in this Contract shall be construed to create an employer/employee relationship or to allow either to exercise control or direction over the manner or method by which the other transacts its business affairs or provides its usual services. The employees or agents of one party shall not be deemed or construed to be the employees or agents of the other party for any purpose whatsoever.
- The Contractor, being an independent contractor and not an employee of the State, agrees to carry adequate public liability and other appropriate forms of insurance, including adequate public liability and other appropriate forms of insurance on the Contractor's employees, and to pay all applicable taxes incident to this Contract.
- D.15. State Liability. The State shall have no liability except as specifically provided in this Contract.

- D.16. Force Majeure. The obligations of the parties to this Contract are subject to prevention by causes beyond the parties' control that could not be avoided by the exercise of due care including, but not limited to, natural disasters, riots, wars, epidemics, or any other similar cause.
- D.17. State and Federal Compliance. The Contractor shall comply with all applicable State and Federal laws and regulations in the performance of this Contract.
- D.18. Governing Law. This Contract shall be governed by and construed in accordance with the laws of the State of Tennessee. The Contractor agrees that it will be subject to the exclusive jurisdiction of the courts of the State of Tennessee in actions that may arise under this Contract. The Contractor acknowledges and agrees that any rights or claims against the State of Tennessee or its employees hereunder, and any remedies arising therefrom, shall be subject to and limited to those rights and remedies, if any, available under *Tennessee Code Annotated*, Sections 9-8-101 through 9-8-407.
- D.19. Completeness. This Contract is complete and contains the entire understanding between the parties relating to the subject matter contained herein, including all the terms and conditions of the parties' agreement. This Contract supersedes any and all prior understandings, representations, negotiations, and agreements between the parties relating hereto, whether written or oral.
- D.20. Severability. If any terms and conditions of this Contract are held to be invalid or unenforceable as a matter of law, the other terms and conditions hereof shall not be affected thereby and shall remain in full force and effect. To this end, the terms and conditions of this Contract are declared severable.
- D.21. Headings. Section headings of this Contract are for reference purposes only and shall not be construed as part of this Contract.

**E. SPECIAL TERMS AND CONDITIONS:**

- E.1. Conflicting Terms and Conditions. Should any of these special terms and conditions conflict with any other terms and conditions of this Contract, these special terms and conditions shall control.
- E.2. Communications and Contacts. All instructions, notices, consents, demands, or other communications required or contemplated by this Contract shall be in writing and shall be made by certified, first class mail, return receipt requested and postage prepaid, by overnight courier service with an asset tracking system, or by EMAIL or facsimile transmission with recipient confirmation. Any such communications, regardless of method of transmission, shall be addressed to the respective party at the appropriate mailing address, facsimile number, or EMAIL address as set forth below or to that of such other party or address, as may be hereafter specified by written notice.

The State:

Wendy Cornelisen  
Tennessee State Library and Archives  
403 Seventh Avenue North  
wendy.cornelisen@tn.gov  
Telephone # 615-532-4627  
FAX # 615-532-9904

The Contractor:

Contractor Contact Name & Title  
Contractor Name  
Address

Email Address  
 Telephone # Number  
 FAX # Number

All instructions, notices, consents, demands, or other communications shall be considered effectively given upon receipt or recipient confirmation as may be required.

- E.3. Subject to Funds Availability. The Contract is subject to the appropriation and availability of State and/or Federal funds. In the event that the funds are not appropriated or are otherwise unavailable, the State reserves the right to terminate the Contract upon written notice to the Contractor. Said termination shall not be deemed a breach of Contract by the State. Upon receipt of the written notice, the Contractor shall cease all work associated with the Contract. Should such an event occur, the Contractor shall be entitled to compensation for all satisfactory and authorized services completed as of the termination date. Upon such termination, the Contractor shall have no right to recover from the State any actual, general, special, incidental, consequential, or any other damages whatsoever of any description or amount.
- E.4. Tennessee Consolidated Retirement System. The Contractor acknowledges and understands that, subject to statutory exceptions contained in *Tennessee Code Annotated*, Section 8-36-801, *et. seq.*, the law governing the Tennessee Consolidated Retirement System (TCRS), provides that if a retired member of TCRS, or of any superseded system administered by TCRS, or of any local retirement fund established pursuant to *Tennessee Code Annotated*, Title 8, Chapter 35, Part 3 accepts state employment, the member's retirement allowance is suspended during the period of the employment. Accordingly and notwithstanding any provision of this Contract to the contrary, the Contractor agrees that if it is later determined that the true nature of the working relationship between the Contractor and the State under this Contract is that of "employee/employer" and not that of an independent contractor, the Contractor, if a retired member of TCRS, may be required to repay to TCRS the amount of retirement benefits the Contractor received from TCRS during the period of this Contract.
- E.5. Contractor Commitment to Diversity. The Contractor shall comply with and make reasonable business efforts to exceed the commitment to diversity represented by the Contractor's proposal responding to **RFP-30504-01612 (Attachment 6.6 B.15)** and resulting in this Contract.
- The Contractor shall assist the State in monitoring the Contractor's performance of this commitment by providing, as requested, a quarterly report of participation in the performance of this Contract by small business enterprises and businesses owned by minorities, women, and persons with a disability. Such reports shall be provided to the state of Tennessee Governor's Office of Diversity Business Enterprise in form and substance as required by said office.
- E.6. Incorporation of Additional Documents. Each of the following documents is included as a part of this Contract by reference. In the event of a discrepancy or ambiguity regarding the Contractor's duties, responsibilities, and performance under this Contract, these items shall govern in order of precedence below.
- a. this Contract document with any attachments or exhibits (excluding the items listed at subsections b. through e., below);
  - b. any clarifications of or addenda to the Contractor's proposal seeking this Contract;
  - c. the State solicitation, as may be amended, requesting proposals in competition for this Contract;
  - d. any technical specifications provided to proposers during the procurement process to award this Contract;
  - e. the Contractor's proposal seeking this Contract.

E.7. Lobbying. The Contractor certifies, to the best of its knowledge and belief, that:

- a. No federally appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
- b. If any funds other than federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this contract, grant, loan, or cooperative agreement, the Contractor shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- c. The Contractor shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into and is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, *U.S. Code*.

E.8. Federal Funding Accountability and Transparency Act (FFATA). This Contract requires the Contractor to provide supplies and/or services that are funded in whole or in part by federal funds that are subject to FFATA. The Contractor is responsible for ensuring that all applicable requirements, including but not limited to those set forth herein, of FFATA are met and that the Contractor provides information to the State as required.

The Contractor shall comply with the following:

- a. Reporting of Total Compensation of the Contractor's Executives.
  - (1) The Contractor shall report the names and total compensation of each of its five most highly compensated executives for the Contractor's preceding completed fiscal year, if in the Contractor's preceding fiscal year it received:
    - i. 80 percent or more of the Contractor's annual gross revenues from Federal procurement contracts and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
    - ii. \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and
    - iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/excomp.htm>).

Executive means officers, managing partners, or any other employees in management positions.

- (2) Total compensation means the cash and noncash dollar value earned by the executive during the Contractor's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
- i. Salary and bonus.
  - ii. Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - iii. Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - iv. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - v. Above-market earnings on deferred compensation which is not tax qualified.
  - vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.
- b. The Contractor must report executive total compensation described above to the State by the end of the month during which this Contract is awarded.
  - c. If this Contract is amended to extend its term, the Contractor must submit an executive total compensation report to the State by the end of the month in which the amendment to this Contract becomes effective.
  - d. The Contractor will obtain a Data Universal Numbering System (DUNS) number and maintain its DUNS number for the term of this Contract. More information about obtaining a DUNS Number can be found at: <http://fedgov.dnb.com/webform/>

The Contractor's failure to comply with the above requirements is a material breach of this Contract for which the State may terminate this Contract for cause. The State will not be obligated to pay any outstanding invoice received from the Contractor unless and until the Contractor is in full compliance with the above requirements.

**IN WITNESS WHEREOF,**

**CONTRACTOR LEGAL ENTITY NAME:**

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**CONTRACTOR SIGNATURE**

**DATE**

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**PRINTED NAME AND TITLE OF CONTRACTOR SIGNATORY (above)**



**TENNESSEE STATE LIBRARY AND ARCHIVES:**

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**CHARLES A. SHERRILL, STATE LIBRARIAN AND ARCHIVIST**

**DATE**

**DEPARTMENT OF STATE, OFFICE OF THE SECRETARY OF STATE:**

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**TRE HARGETT, SECRETARY OF STATE**

**DATE**

## ATTACHMENT ONE

## ATTESTATION RE PERSONNEL USED IN CONTRACT PERFORMANCE

|  |             |
|--|-------------|
| SUBJECT CONTRACT NUMBER:   | 30504-01612 |
| CONTRACTOR LEGAL ENTITY NAME:  |             |
| FEDERAL EMPLOYER IDENTIFICATION NUMBER:<br>(or Social Security Number) |             |

The Contractor, identified above, does hereby attest, certify, warrant, and assure that the Contractor shall not knowingly utilize the services of an illegal immigrant in the performance of this Contract and shall not knowingly utilize the services of any subcontractor who will utilize the services of an illegal immigrant in the performance of this Contract.

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**CONTRACTOR SIGNATURE**

NOTICE: This attestation MUST be signed by an individual empowered to contractually bind the Contractor. If said individual is not the chief executive or president, this document shall attach evidence showing the individual's authority to contractually bind the Contractor.

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**PRINTED NAME AND TITLE OF SIGNATORY**

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**DATE OF ATTESTATION**